Sin Wang Chong
Neil H. Johnson *Editors*

Landscapes and Narratives of PhD by Publication

Demystifying students' and supervisors' perspectives

Landscapes and Narratives of PhD by Publication

Sin Wang Chong • Neil H. Johnson
Editors

Landscapes and Narratives of PhD by Publication

Demystifying students' and supervisors' perspectives

Springer

Editors
Sin Wang Chong
Moray House School of Education and Sport
University of Edinburgh
Edinburgh, UK

Neil H. Johnson
Wearside View, St Peter's Campus
University of Sunderland
Sunderland, UK

ISBN 978-3-031-04894-4 ISBN 978-3-031-04895-1 (eBook)
https://doi.org/10.1007/978-3-031-04895-1

© The Editor(s) (if applicable) and The Author(s), under exclusive license to Springer Nature Switzerland AG 2022
This work is subject to copyright. All rights are solely and exclusively licensed by the Publisher, whether the whole or part of the material is concerned, specifically the rights of translation, reprinting, reuse of illustrations, recitation, broadcasting, reproduction on microfilms or in any other physical way, and transmission or information storage and retrieval, electronic adaptation, computer software, or by similar or dissimilar methodology now known or hereafter developed.
The use of general descriptive names, registered names, trademarks, service marks, etc. in this publication does not imply, even in the absence of a specific statement, that such names are exempt from the relevant protective laws and regulations and therefore free for general use.
The publisher, the authors and the editors are safe to assume that the advice and information in this book are believed to be true and accurate at the date of publication. Neither the publisher nor the authors or the editors give a warranty, expressed or implied, with respect to the material contained herein or for any errors or omissions that may have been made. The publisher remains neutral with regard to jurisdictional claims in published maps and institutional affiliations.

This Springer imprint is published by the registered company Springer Nature Switzerland AG
The registered company address is: Gewerbestrasse 11, 6330 Cham, Switzerland

Foreword

Authorship of peer reviewed publications is frequently referred to as the 'currency of academia' and is positioned as an essential criterion for academic career progression. It might seem sensible therefore for every Higher Education Institution to aim to ensure that every doctoral researcher graduates in the firm possession of a list of published works. Offering a route to PhD by Publication would seem a logical and straightforward way to support the delivery of this aim. Additionally, Retrospective PhD by Publication, recognising published work that has already been achieved as part of the candidate's job role, can be viewed as a Widening Participation approach to the PhD degree (Wakeling, 2020). It permits researchers, often third-space professionals (Whitchurch, 2008) who have not followed the traditional PhD route to obtain recognition for their contributions to their field, and institutions should recognise it as a strategy for enabling recognition of doctoral scholarship from a diverse candidate base. Despite the institutional advantages of a PhD award based around published works, the proportions of researchers who secure their doctorate through a publication-based programme is still relatively low. The reason for this is that creating a structured pathway, and clear set of institutional regulations with definable parameters and standards for success, is not at all straightforward for this mode of study. The most immediate barrier to achieving the required clarity is the variety of different programme structures that fall under the general umbrella term, including the *Retrospective* PhD by Publication described above, in which the required publications have already been secured. Contrastingly, the *Prospective* PhD by Publication requires the component publications to be gained during candidacy. Different programme structures fulfil different aims for recognising 'doctorateness', they attract different candidates, who have different levels of experience with academic publishing. They also offer different forms of professional and career value to the candidate, and as such they require different pedagogical approaches that meet a wide range of different learning and development needs. Examples of different routes into PhD by Publication, and how these parameters and contexts influence the doctoral experience, are documented in detail throughout the second part of this book and these narratives illustrate the different experiences and outcomes of candidates, as interweaving themes.

Additionally, understanding and optimising the value of publishing as a core part of the PhD to the individual candidate's motivations or career trajectory, is equally complicated. Prospective PhD by Publication can be viewed as a way for universities to increase the academic job market competitiveness of doctoral candidates and prepare them for an academic career. It has the added advantage of driving an institution's claim to academic outputs, allowing universities to engage in measurement-type activities such as the UK's Research Excellence Framework. Yet the proportions of doctoral graduates retained in academic careers is dwindling as the numbers of doctoral graduates increases, and a detailed longitudinal understanding of doctoral career paths is lacking (Hancock, 2021). The employability value of completing a doctorate which generates publications as markers of academic esteem is therefore also unknown. It could be argued however that the experience of completing a doctorate that results in a set of sector relevant communications that document the graduate's clear contribution can be more readily utilised an asset that will convey value to employers outside the academy than a longer, less accessible, PhD thesis. An added advantage is that banking published works can reduce some of the uncertainty candidates experience in understanding thesis writing standards. For example, these may include worries about how much data is 'enough' and how much data is required to consider the conclusions to be 'robust'. If the work has already been peer reviewed and published, candidates may feel a greater sense of confidence in their contribution, gained through seeing their work in print (Watts, 2012).

Higher Education Institutions have rarely centralised the PhD by Publication as a doctoral route and tend to invest little time in devising programmes that centre on student development. This lack of attention could perhaps be attributed to the comparatively recent establishment of PhD by Publication programmes compared to the more traditional routes, and therefore to the relatively small scholarly knowledge base dedicated to understanding how doctoral students experience these programmes, meaning that their complexity has been largely unexplored. Additional contributing factors could be the proportionally low numbers of students choosing PhD by Publication, and a lack of prioritisation due to the decreased likelihood of these programmes be accompanied by prestigious external research funding. This means that in many cases, though with some notable exceptions, very little time is dedicated by institutions to designing a coherent student journey, accompanied by a clear set of expectations for the degree and guidance for candidates. I am delighted that the first part of this book aims to address this deficit in understanding. It covers several themes related to the institutional-level considerations that surround and support the PhD by Publication, including Codes of Practice and Thesis Guidelines aimed towards setting expectations with candidates, supervisors, and examiners. Readers who assume some responsibility for developing policy for doctoral programmes will find this volume provides a valuable reference point, and offers stimulus for understanding good practice in devising clear processes for PhD by Publication.

The design of researcher development provision that employs tailored pedagogies positioned within enabling structures is afforded momentum the existence of such clear expectations and guiding polices. Where PhD by Publication remains on

the periphery of doctoral programmes, this will tend to be mirrored in the extent of institutional researcher development provision tailored towards the needs of students within these programmes. In universities where the experiences, challenges and support needs of PhD by Publication candidates are not well understood by researcher developers, relatively few targeted support materials and practices have perfused development spaces. Whilst supporting and developing all researchers to succeed with writing and publishing as a requirement of the PhD seems a logical connection to make in theory, the delivery of this in a way which is accessible and relevant to PhD by Publication candidates is more difficult as it requires researcher developers to work in tighter partnership with colleagues located in the candidates' disciplinary spaces. We must also be mindful of our shared responsibilities in supporting candidates on PhD programmes that *require* publications. If students are expected to produce publications in order to succeed, how are they enabled to do so? Can we ever ensure parity of experience of the publication process? This requirement to publish, a condition of fulfilment of the degree award, places extra responsibility on a range of players across the institution and perhaps even beyond, to support the development of the writing skills and practices required for publication.

On a pragmatic level, there are obvious benefits to offering a flexible and responsive development approach for PhD by Publication candidates that utilises partnership with disciplinary colleagues, and the insight they bring into the candidates' needs and experiences. In addition to the different entry points, modes, and motivations described above, we must also consider the timing of development activities in order that they can engage the target audience at the point of need. Retrospective PhD by Publication candidates, for example, are likely not to identify *as* 'doctoral students' until their publication portfolio is significant, at which point they are required to create a thesis which synthesizes their works under an overarching framework. The thesis produced will generally be written in a significantly different style to the articles they have already produced. At that point, these candidates will often require support to learn a different, often more expansive and personal genera of academic writing. Whilst institutional researcher development provision may support awareness and the building of proactive approaches to succeeding with challenge ahead, there is unlikely to be sufficient resource for each student to gain the specific one-to-one support they will need. Supervisors are the most ideally placed people to provide this student-centred support, and they themselves will need to be prepared to understand the expectations and requirements of candidates who enter into PhD by Publication.

The focus for development of the supervisors of PhD by Publication candidates must ripple out form the needs of the people they support. Success in scholarly writing and publishing requires 'a constellation of skills, understandings, and dispositions' (Jalongo et al., 2014, p. 241) and supervisors must therefore be prepared to engage in significant support work to enable this. For Prospective PhD by Publication candidates, a rapid orientation to and development of good writing practices is essential. Success in publishing is heavily influenced by disciplinary writing conventions, and by the focus, scope and audience of the intended publishing outlet(s).

Certain types of study design, and certain types of data are demonstrably more publishable and whereas many a PhD thesis contains swathes of preliminary studies and negative results, the same is not true of journal volumes. The reality is that publishing, even for experienced researchers, is fraught with constraints, frustrations and rejection (Mason, 2018), and supporting a novice researcher to succeed, requires the centralisation of writing and publishing focussed supervision pedagogies (Guerin et al., 2017; Cayley, 2020) as well as the opportunity to participate in communities of writers (Aitchison & Guerin, 2014).

Due to these disciplinary and publishing constraints, many of the challenges of the PhD by Publication are therefore not systemically fixable with delivered learning interventions that target the generic ‘skills’ of academic writing. They are specific to dynamic subject-area practices, research team culture and working relationships. In many cases, the ability to publish is also determined by chance, as is inherent to a system of scholarly communication which has been constructed to be heavily reliant on volunteered service. Delays in publishing are frequently caused by lengthy (and lengthening) timelines for peer review, poor reviewer skills and practices, and the clarity and responsiveness of the editorial experience. Delays in the publishing process create delays in the award of the PhD, in turn creating hidden degree costs and introducing risk for candidates. Delays to publishing can further be exacerbated by the constraints placed upon research teams and academic supervisors who are strongly encouraged to produce the bigger and ‘better quality’ research outputs, which are seen as desirable within systems of measurement of Research Excellence. Example of this include instances in which research findings are withheld from publication for a longer period to afford the time to generate a larger dataset, or where two potential papers from a research team are combined to generate a longer paper considered to be more likely to greater ‘impact’. The ethical challenges of authorship and of appropriately recognising team efforts then layer on additional concerns to be navigated in the pursuit of PhD completion. If the above factors can even be considered to be controllable, they rely on the ability of the supervisors and candidates to anticipate issues and to plan contingencies. This in turn requires clear expectation setting and regular communication at the supervisory and research group level, and demands proactive long-term planning to ensure success.

Doctoral education and development are a shared endeavour across most universities now. It encompasses a range of active ‘agents’ who support candidates through formal and hidden curricula, taking into account their academic, social and psychologic needs (Elliot et al., 2020). The supervisor, as detailed above, is strongly influential in this. A potential interesting point for speculation is whether, for PhD by Publication candidates, the peer-review process represents a substantial ‘hidden curriculum’ within their wider scholarly journey. If it does, the duties for providing a developmental experience for candidates may be considered to be expanded to agents outside the organisation, such as peer reviewers and journal editors, over which institutions, supervisors, and candidates have frustratingly little influence. From my professional perspective as a developer of doctoral researchers, the uniqueness and the value of this book reside in its offering of multiple insightful

analyses across many ‘agents’ who act to support and enhance the PhD by Publication experience. Giving voice to diverse stakeholders in PhD by Publication programmes enables readers to gain an ecological overview of how researchers interact, progress and succeed with the context of their disciplines and their doctorates. Through this detailed examination of individual perspectives and of the challenges of this mode of doctoral study, we gain ground on securing a better understanding the ‘development needs’ of the people who pursue PhD by Publication. My hope is that this volume will be read also by those who accept the responsibility of editorship and of peer review, and that they may also see how their role sits within the doctoral learning curriculum.

University of Glasgow
Glasgow, UK
Kay Guccione

References

Aitchison, C., & Guerin, C. (Eds.). (2014). *Writing groups for doctoral education and beyond*. Routledge.

Cayley, R. (2020). Understanding supervisory practices: Commonalities and differences in ways of working with doctoral writers. *Canadian Journal for Studies in Discourse and Writing/Rédactologie, 30*, 1–18.

Elliot, D. L., Bengtsen, S. S. E., Guccione, K., & Kobayashi, S. (2020). *The hidden curriculum in doctoral education*. Springer.

Guerin, C., Walker, R., Aitchison, C., Laming, M. M., Padmanabhan, M. C., & James, B. (2017). Doctoral supervisor development in Australian universities: Preparing research supervisors to teach writing. *Journal of Academic Language & Learning, 11*(1), 88–103.

Jalongo, M. R., Boyer, W., & Ebbeck, M. (2014). Writing for scholarly publication as “tacit knowledge”: A qualitative focus group study of doctoral students in education. *Early Childhood Education Journal, 42*, 241–250. https://doi.org/10.1007/s10643-013-0624-3

Hancock, S. (2021). What is known about doctoral employment? Reflections from a UK study and directions for future research. *Journal of Higher Education Policy and Management, 43*(5), 520–536. https://doi.org/10.1007/s10643-013-0624-3

Mason, S. (2018). Publications in the doctoral thesis: Challenges for doctoral candidates, supervisors, examiners and administrators. *Higher Education Research & Development, 37*(6), 1231–1244.

Wakeling, P. (2020). *Q&A on widening participation.* Available: http://www.ukcge.ac.uk/article/widening-participation-qa-paul-wakeling-416.aspx. Last accessed 17 June 2021.

Watts, J. H. (2012). To publish or not to publish before submission? Considerations for doctoral students and supervisors. *Creative Education, 3*(6), 1101–1107.

Whitchurch, C. (2008). Shifting identities and blurring boundaries: The emergence of third space professionals in UK higher education. *Higher Education Quarterly, 62*(4), 377–396.

Contents

1 Introduction: Demystifying the PhD by Publication 1
Sin Wang Chong and Neil H. Johnson

Part I Landscapes of PhD by Publication

2 Same But Different? Identifying Writing Challenges Specific to the PhD by Publication 13
Kristin Solli and Lynn P. Nygaard

3 Ethical and Practical Considerations for Completing and Supervising a Prospective PhD by Publication 31
Shannon Mason and Liezel Frick

4 Retrospective PhD by Publication in the UK: A Rapid Review on Educational Research Commentaries 47
Sin Wang Chong

5 Metadiscourse in the Retrospective PhD by Publication: More or Less the Same? 73
Neil H. Johnson

Part II Narratives of PhD by Publication

6 The Retrospective PhD by Publication: A Lesser Doctorate? 95
Karen Campbell

7 Evolving Identities: A Collaborative Autoethnography in Supervising and Being Supervised by Colleagues 119
Karen Gravett, Ian Kinchin, and Naomi Winstone

8 Supervising Students Who Are Undertaking a Retrospective PhD by Publication 135
Susan Smith

9 Demystifying Retrospective PhDs by Publication: A Collective Approach 149
Sally Brown

10 The Retrospective/Prospective PhD by Publication Journey 159
Michelle Morgan

11 The Inside Out and Backwards PhD 177
Neil Alexander-Passe

12 From PhD by Publication to Full-Time Academic: Narratives of Three Women 185
Shannon Mason, Margaret Merga, and Melissa Bond

13 The PhD by Publication as Preparation for Work in the 'Performative University' 199
Patrick O'Keeffe

14 Conclusions: Demystifying the PhD by Publication and the Research Road Ahead 215
Neil H. Johnson and Sin Wang Chong

Chapter 1
Introduction: Demystifying the PhD by Publication

Sin Wang Chong and Neil H. Johnson

Abstract This chapter documents the rationale for compiling a collection on the PhD by Publication. The aim of the book is to "demystify" this alternative route of doctoral education because there is a dearth of publications (journal articles or books) on this PhD route which is gaining popularity around the world. This book attempts to "demystify" PhD by Publication by identifying pertinent issues and (mis)conceptions pertaining to policies and practices through research, research syntheses, and surveys of university policies on the PhD by Publication internationally (Part I – Landscapes of PhD by Publication). Another layer of "demystification" pertains to experience (Part II: Narratives of PhD by Publication). The inclusion of reflective and autobiographical accounts by PhD by Publication supervisors, students, and graduates internationally provides a vivid insider's perspective toward this PhD route. This chapter closes with an outline of each chapter of the book.

The Impetus

The motivation of putting together a volume on PhD by Publication is a personal one. I (Sin Wang) completed my PhD by Retrospective PhD by Publication in April 2020 at a UK university. While this was a very rewarding experience (which I wrote about in Chong, 2020) and I learned a lot from working with my Director of Studies, Dr. Neil H. Johnson, who is a co-editor of this book, with hindsight, there were aspects of my study which I wish could have been improved, especially in relation to how doctoral students taking this alternative route can be supported in the various stages of their journey e.g., application, selection of publications to be included in the thesis, writing a commentary to synthesize the selected publications, and viva

S. W. Chong (✉)
Moray House School of Education and Sport, University of Edinburgh, Edinburgh, UK

N. H. Johnson
Wearside View, St Peter's Campus, University of Sunderland, Sunderland, UK

© The Author(s), under exclusive license to Springer Nature Switzerland AG 2022

S. W. Chong, N. H. Johnson (eds.), *Landscapes and Narratives of PhD by Publication*, https://doi.org/10.1007/978-3-031-04895-1_1

voce. Similarly, from the perspective of a supervisor (Neil Johnson), there were times during the process of supervising Sin Wang when I felt unsure about the supervisory task at hand. What was clear was that this was a very different kind of process to that which my training on supervision of PhD students had prepared me for, and indeed that I had previously experienced when supervising students on their terminal degree. Specifically, what immediately struck me when considering Sin Wang's application to study was the high quality and quantity of his research already completed and published. It felt from the start of the process that I was collaborating with a peer and that this process had therefore to be one of negotiation and collaboration. At the successful conclusion of this process, we discussed the possibility of putting together a book on the PhD by Publication for students, supervisors, and university administrators, one which we both wished we had at various times during the PhD by Publication collaboration. Although relatively under-explored and lesser known, universities have been offering an alternative PhD route, the PhD by Publication, for almost two decades, which provides candidates with authentic research and scholarly writing experience. The PhD by Publication refers to an alternative route to PhD where "a series of peer reviewed academic papers or artefacts are produced around a coherent theme over many years, collated and submitted with a synthesis (or equivalent) and usually defended by oral examination" (Smith, 2017, p. 19). In doctoral education literature, the PhD by Publication is often considered as one of the two formats – *prospective* and *retrospective*.

The Prospective PhD by Publication is similar to a traditional PhD in which candidates undertake three to four years of full-time study and produce a substantial body of original research. The only difference between a prospective PhD by Publication and its traditional counterpart is that candidates enrolled in the former produce a collection of publications (usually articles in refereed journals, but this could also include artefacts/creative outputs depending on disciplines) in the place of a thesis.

On the other hand, *the Retrospective PhD by Publication* (also known by other names e.g., PhD by Published Work) refers to the submission of a portfolio of work published prior to the registration of the doctoral programme, accompanied by a commentary. Because of its retrospective nature, the duration of enrolment of this programme is usually short, ranging from half a year to two years.

The PhD by Publication has been increasingly common in certain parts of Europe and Australia because of its affordances related to graduates' employability, affordability in terms of both time and money, and development of research skills and competence of early career researchers (i.e., doctorateness/doctoralness). It is well-documented in research on PhD by Publication that candidates are more well-prepared for an academic career because by the time they graduate, they would have had published several articles in prestigious journals in their fields and collaborated with more senior academics (e.g., their supervisors) (Jackson, 2013; O'Keeffe, 2019). It is thus argued that the PhD by Publication is especially suitable for those who aspire to become full-time academics. Equally important is the fact that the PhD by Publication may require less time to complete than a traditional PhD. For me (Sin Wang), I completed my Retrospective PhD by Publication (from

registration to graduation) in less than a year. This should not be interpreted as a "shortcut" for getting a PhD nor should it lead to skepticism towards the value and recognizability of the PhD by Publication. Again, using myself as an example, my thesis comprises six articles which were published after 2017 on assessment feedback in English language classrooms. The submitted commentary summarizes the independent research work which I initiated and completed with no research support and while engaged with a full-time teaching job. This is definitely as demanding as a structured PhD programme, if not more so. In terms of recognizability, as I shared in my reflection (Chong, 2020), recognizability of a PhD programme does not only rest on the university and your supervisor but also the quality of your publications. The six articles which I submitted for examination were published in leading journals in language assessment and assessment in higher education, journals which are SSCI-indexed and have decent impact factors. The body of work also includes various types of publications ranging from conceptual pieces, primary studies, to teaching-focused articles.

What the PhD by Publication Is and What It Is Not

Despite the aforementioned advantages of the PhD by Publication, it is our observation and experience that it is still being misunderstood. In what follows, we would like to "demystify" some of the misconceptions about PhD by Publication and point you to the chapter(s) in the book which provide detailed responses.

Misconception 1: The PhD by Publication Thesis Is the Same as the One for a Traditional PhD

Although both the PhD by Publication and the traditional PhD are awarded based on the merits of a thesis produced by the candidate, a thesis for the PhD by Publication is quite different from that for a traditional PhD. The most notable difference is that the former requires a substantial synthetic component, which can be in the form of a discrete document (sometimes called a "commentary") or an additional chapter at the outset or end of the thesis. The PhD by Publication candidates should be able to demonstrate the coherence of the publications included in the thesis, in addition to their respective original contributions to the field. In Chap. 2, Solli and Nygaard analyze 17 peer-reviewed articles authored by PhD by Publication researchers to identify writing challenges specific to the PhD by Publication thesis. Three types of challenges are identified which relate to the researchers' ownership of the text and the writing process, the connection between individual publications and the thesis as a whole, and writing for different audiences and purposes.

Misconception 2: Any Form of Publications Can Be Included in the Thesis for the PhD by Publication

Forms of publications which are accepted for the PhD by Publication vary across institutions and disciplines. However, a common thread identified through analysis of university policies seems to be that candidates need to be able to demonstrate autonomy and independence in the research and writing process (Chong, 2021). This is sometimes illustrated in a form or a section on authorship declaration. In Chap. 3, Mason and Frick discuss ethical and practical issues pertaining to authorship, contribution, and attribution. They recommend doctoral students taking the *by Publication* route to communicate with their supervisors at an early stage and develop mutual expectations. Moreover, they suggest universities to employ a more qualitative orientation towards developing relevant guidelines and policies.

Misconception 3: There Are No Specific Requirements for the Synthetic Chapter in PhD by Publication

As mentioned briefly, the most distinctive feature of the PhD by Publication is its synthetic chapter (sometimes called a “commentary”, among its other names). It is inaccurate to suggest that the synthetic chapter is secondary to the collection of publications that are submitted. We would actually argue, from the perspectives of a PhD by Publication graduate and supervisor, that the synthetic chapter is the heart of the thesis because a case needs to be built in this chapter and a “golden thread” (Smith, 2019) needs to be identified which connects all publications; besides the original contribution of the synthetic chapter needs to be explicated. It is true that institutional regulations vary. My (Sin Wang) genre analysis (Chap. 4) on six synthetic chapters in the broad discipline of Education reveals a total of 61 structural moves. Surprisingly, I found that despite the small corpus used, a great deal of variation is identified, and similarities are only noted in four structural moves. I conclude with suggestions for supervisors and universities, highlighting the need for tailor-made language support for PhD by Publication students.

Echoing this call for more specific language support for PhD by Publication students who are also English learners, Johnson (Chap. 5) analyses the synthetic chapters in Retrospective PhD by Publication dissertations and those submitted for traditional doctoral degrees. Focusing on metadiscourse, Johnson discusses variation in language features in these two academic genres and highlights important differences in what increasingly looks like an emergent sub-genre of academic writing.

Misconception 4: The PhD by Publication Is a Lesser Doctorate

It is the opinion of some that the PhD by Publication is less valuable than a traditional PhD, attributing this claim (wrongly) to the idea that the former can be completed in a shorter duration and that the assessment process seems to be less rigorous (Wilson, 2002); Campbell (Chap. 6) argues otherwise. Drawing on the notion of "doctoralness" and using the Researcher Skills Development Framework, she shares her own experience of completing the PhD by Publication. She suggests that completing the PhD by Publication makes her a more autonomous researcher and strengthens her identity as a researcher. Comparing the two PhD tracks, she identifies some added value in completing the *by Publication* route.

Misconception 5: There Is No Supervisor in the PhD by Publication

Like other doctorates, candidates completing the PhD by Publication will be supervised by one to two academics who are experts in the research area and the doctoral route. Apparently, the roles of the supervisors will be quite different from those in the traditional PhD but candidates can expect to receive the same amount of academic and pastoral support from their supervisors. In fact, Gravett, Kinchin, and Winstone (Chap. 7) argue in their collaborative autoethnography that the identities of supervisors and students are more fluid and that both seem to be learning from each other, reconceptualising relationships in doctoral supervision.

Extending the discussion on the roles of supervisors in the PhD by Publication, Smith (Chap. 8) offers her expert advice. She contends that PhD by Publication supervisors play an indispensable role in the doctoral journey of students and suggests that supervisors advise on (1) the nature and number of publications; (2) the original contributions of students' work; (3) language used to synthesize publication findings in writing; and (4) preparing for the viva voce.

Continuing this line of thought on the supervisory role, Brown (Chap. 9) reports on an innovative approach she has adopted to support PhD by Publication students. In the chapter, Brown describes how she and her husband create a supportive environment by inviting groups of PhD by Publication students to their home to work alongside peers. Brown recommends this approach because this helps PhD by Publication students fight against loneliness, which can be a particular concern.

Misconception 6: The PhD by Publication Is Suitable for Everyone

If you are considering undertaking the Prospective or Retrospective PhD by Publication, it is important to consider its pros and cons, which Morgan (Chap. 10) summarizes neatly through a reflection of her own experience as a PhD by Publication graduate. Employing her Student Experience Transitions Model, Morgan provides a walkthrough of the stages of completing the PhD by Publication and concludes her chapter with tips and advice.

A piece focusing on the lived experience of a PhD by Publication graduate with disability is Alexander-Passe (Chap. 11), in which he shares his experience of completing a Retrospective PhD by Publication and offers his understanding of the PhD by Publication as "backwards PhD" and "inside out PhD".

One of the advantages of the PhD by Publication is that it provides career-relevant doctoral training to early career researchers. Mason, Merga, and Bond (Chap. 12) discuss this extensively in their collaborative autoethnography. In particular, they reflect on ways the Prospective PhD by Publication has helped them embark on a full-time career in academia.

In a similar vein, O'Keefe (Chap. 13) draws on the notion of "performativity" to discuss how the completion of the PhD by Publication has prepared him to meet the expectations of academia which are characterized by quantitative measures of achievements.

Uniqueness of the Book

First, this edited volume encompasses both research and practice of the PhD by Publication as well as macro- and micro-issues of this lesser-known PhD route. This will appeal to those who are involved in such a programme, as well as those who research doctoral education. As the title of this chapter suggests, the aim of this book is to help "demystify" PhD by Publication as a doctoral programme. Therefore, it strives to be as encompassing as possible by addressing three themes: landscape, practice, and experience. In Part 1 of the book, it mostly addresses macro- or institutional-level considerations of the PhD by Publication including thesis guidelines and other university regulations. It also surveys the landscape of the PhD by Publication through synthesizing PhD by Publication codes of practice in different parts of the world. In the second part of the book, the focus is on practice and experience. PhD by Publication supervisors and students share their own experience through reflecting on their supervisory practices, affordances, and constraints of this route of PhD.

Second, this book is not skill-based but theme-based. This book covers many of the themes and issues that PhD by Publication supervisors and students will likely encounter, from admission, supervision, thesis writing, viva voce, to graduation.

With this, this title will be a book which prospective PhD by Publication students first consult to gain a preliminary yet extensive understanding of this doctoral programme. This book is suitable for PhD by Publication students at different stages of their study.

Another of the attractions to the book is that it is international in scope. As an edited volume, it has allowed us to invite manuscripts from practitioners and researchers of the PhD by Publication from around the world. We are proud to include contributions from authors based in the UK, Norway, Australia, and Japan, which offer multiple perspectives, making the book highly relevant to stakeholders of PhD by Publication globally. What this international perspective clearly suggests is that while local differences in process exist, even between universities in the same country, there is a commonality of difference within the PhD by Publication experience. This commonality is centered upon a shared renegotiation of the relationship between candidate and supervisor and the shared task of completing the academic programme. Similarly, the self-analytical aspects of the PhD by Publication thesis have produced a shared need to produce new ways of creating and documenting the creation and synthesis of knowledge. There is some evidence within the chapters of this book that deal explicitly with the challenges of writing this text type (i.e. Chaps. 2, 4, and 5) that a new sub-genre of text is emerging to meet the new rhetorical and discoursal needs of authors, in keeping with the basic tenets of genre theory, as discussed in the concluding chapter here by Johnson and Chong (Chap. 14) (see also Hyland, 2015).

Finally, the uniqueness of this book rests in its offering of multiple perspectives, including supervisors and students. This edited volume will address concerns and give voice to other stakeholders of the programme. This book, which attempts to synthesize the expectations, needs, and concerns of various parties of the programme, offers a much richer discussion of this PhD programme as a whole.

Limitations

While we are excited about the unique contribution that we feel our book makes, it is also important to acknowledge the limitations and shortcomings in our work. This is by definition an exploratory project, and for this reason we decided as editors only to include autoethnographic narratives that were written by successful completers of the degree. There is also much to be learned in future work around better understanding the narratives and contexts where this success was not fully realized. We have also drawn together authors from a range of contexts and looked to synthesize and analyze commonalities within the PhD by Publication experience, as described above. Where cultural and other differences exist, such as in an Asian context, for example, we would like these differences to be explored and documented in future work. This is beyond the scope of the work presented here. To a large extent, we have also relied upon autoethnography and individual experiences as a key data

source; while we fully support these approaches to research, again in future research we hope to see these personal narratives of lived experience complemented by further quantitative inquiry into the PhD by Publication discourses and experiences.

Our Aspiration

We hope that this book will be a valuable resource to all stakeholders involved in the PhD by Publication process especially supervisors and (prospective) students. Both novice and experienced PhD by Publication supervisors may be especially interested in chapters pertaining to the documentation and evaluation of evidence-based supervisory practices of PhD by Publication (e.g., Chaps. 7, 8, and 9). Current PhD by Publication students and those who are considering this route are likely to be attracted by contributions from PhD by Publication graduates about their learning experiences (e.g., Chaps. 10, 11, 12, and 13). Moreover, these students may find chapters on genre analysis of theses of PhD by Publication useful because thesis requirements of this alternative PhD route are distinctive from its traditional counterpart (Chaps. 4 and 5).

This volume will also be of interest to researchers of doctoral education and university administrators. The primary research and research syntheses in Part 1 of the book provides an overview of the current research and practice landscapes of PhD by Publication in the UK, Australia, and Europe. The final chapter on the way forward for PhD by Publication addresses both research and practice-related concerns by suggesting future research directions and supports which can be offered to PhD by Publication supervisors and students.

References

Chong, S. W. (2020). PhD by published work and "doctorateness": My experience at a UK university. *Innovative Practice in Higher Education, 4*(1), 1–12. http://journals.staffs.ac.uk/index.php/ipihe/article/view/204/319

Chong, S. W. (2021). Demystifying commentary guidelines of PhD by published work in the UK: Insights from genre analysis. In *Innovations in education and teaching international* (pp. 1–10). Advanced online publication. https://doi.org/10.1080/14703297.2020.1871396

Hyland, K. (2015). Genre, discipline and identity. *Journal of English for Academic Purposes, 19*, 32–43.

Jackson, D. (2013). Completing a PhD by publication: A review of Australian policy and implications for practice. *Higher Education Research and Development, 32*(3), 355–368. https://doi.org/10.1080/07294360.2012.692666

O'Keeffe, P. (2019). PhD by publication: Innovative approach to social science research, or operationalisation of the doctoral student … or both? *Higher Education Research and Development, 39*(2), 288–301. https://doi.org/10.1080/07294360.2019.1666258

Smith, S. (2017). Supervising on a PhD by published work route: An exploration of the supervisory role. Zeitschrift für Hochschulentwicklung. *Journal for Higher Education Development, 12*(2), 19–43.

Smith, S. (2019). *The challenge of supervising students who are doing a PhD by published work*. Trust Me! Blog. Retrieved from https://eprints.leedsbeckett.ac.uk/id/eprint/5648/1/TheChallengeOfSupervisingStudentsWhoAreDoingAPhdByPublishedWorkAM-SMITH.pdf

Wilson, K. (2002). Quality assurance issues for a PhD by published work: A case study. *Quality Assurance in Education, 10*(2), 71–78. https://doi.org/10.1108/09684880210423555

Sin Wang Chong is a Senior Lecturer (Associate Professor) in Language Education at the Moray House School of Education and Sport, University of Edinburgh in Scotland. His research interests include language and educational assessment, technology and education, and research synthesis. He is Associate Editor of the journals Innovation in Language Learning and teaching (Taylor & Francis) and Higher Education Research & Development (Taylor & Francis).

Neil H. Johnson is a Senior Lecturer for Masters in Education at the University of Sunderland. His research interests are in technology mediated and distance learning, multiliteracies, and English for academic and specific purposes.

Part I
Landscapes of PhD by Publication

Chapter 2
Same But Different? Identifying Writing Challenges Specific to the PhD by Publication

Kristin Solli and Lynn P. Nygaard

Abstract Is writing a PhD By Publication (PBP) a fundamentally different learning experience than writing a traditional thesis in the form of a monograph? Are the 'typical challenges' faced by a PBP writer substantively different from the challenges of writing a traditional thesis, or do they stem from an environment unfamiliar with the PBP, or simply similar challenges manifested differently? In this chapter, we seek to answer these questions by analysing 17 peer-reviewed articles written by PBP writers who describe and reflect on their own experiences of writing a PBP. Our analysis identifies three types of challenges that can be considered unique to PBP writers and inherently linked to the features of the genre: potentially losing ownership of the text and writing process, negotiating the relationship between stand-alone pieces and the thesis as a whole, and writing for different purposes and different audiences. We conclude the chapter by suggesting that these findings can help identify the type of institutional and supervisory support PBP writers need and by pointing to a need for further empirical research into how different thesis types shape doctoral trajectories.

Introduction

The emergence and growing popularity of the PhD by Publication (PBP) has sparked considerable interest from researchers and commentators. Proponents claim that having students produce articles for publication rather than the more traditional monograph addresses problems of employability and lack of 'relevance' often associated with contemporary doctoral education (Boud & Lee, 2009; Thomson & Walker, 2010). The argument is that articles demonstrate relevance because they

K. Solli (✉)
OsloMet – Oslo Metropolitan University, Oslo, Norway
e-mail: kristin.solli@oslomet.no

L. P. Nygaard
Peace Research Institute Oslo (PRIO), Oslo, Norway

© The Author(s), under exclusive license to Springer Nature Switzerland AG 2022

S. W. Chong, N. H. Johnson (eds.), *Landscapes and Narratives of PhD by Publication*, https://doi.org/10.1007/978-3-031-04895-1_2

address readers directly through journals rather than gathering dust in a university library, and that candidates have gained concrete experience as scholars in their own right, making them more employable. But changing the format from a monograph to a collection of articles accompanied by a narrative raises questions about what a PhD thesis is and what it means to write one. Is writing a PBP a fundamentally different experience than writing a traditional thesis in the form of a monograph?

It stands to reason that it would be. Understanding 'genre as a structural force in doctoral work', Wittek (2013) draws on her own experience of writing a monograph (rather than a PBP as many of the peers in her PhD programme did) to argue that the choice of thesis type has a 'mediating effect on the processes of research and learning' (p. 5). This claim is further explored in a study comparing the trajectories of a monograph writer and that of a PBP writer, where the authors argue that the 'gradual process of monograph writing differs substantially from the more immediate and constantly critical self-evaluation used in an article-based thesis' (deLange & Wittek, 2014, p. 398).

The argument that the genre of the doctoral thesis will necessarily shape doctoral experiences and doctoral learning is convincing and holds intuitive appeal. However, the larger questions these studies point to warrant a critical examination in the light of a broader set of student experiences. While there is little doubt that the surface features of a PBP differ significantly from that of a monograph, the question of whether the fundamental challenges of producing a doctoral thesis differ substantively – or whether the 'typical challenges' faced by a PBP writer are simply similar challenges manifested differently – remains unresolved. If the PBP does indeed represent a fundamentally different path of learning for doctoral students, a path that results in qualitatively different challenges faced by the student in their learning process, then we would expect that first-hand accounts from students writing a PBP would be able to identify challenges not reflected in the broader conceptual literature on challenges faced by doctoral writers.

In this chapter, we draw on published autoethnographic and reflective accounts of PBP experiences to attempt to identify exactly how the experience of writing a PBP differs from writing a monograph. We are not concerned about the variations within the PBP format, but rather what makes writing a thesis that combines standalone pieces aimed at publication with a narrative aimed at a thesis committee different from writing a monograph in terms of the fundamental challenges that doctoral students face. What makes this a difficult question to answer when drawing from autoethnographic accounts is that the authors of such accounts may themselves not be able to isolate experiences that are unique to the PBP, which means that although they clearly report genuine challenges, the question remains of whether the challenges can be attributed to the PBP as a genre instead of the doctoral journey in general, or to features of the specific institutional context.

Our approach is thus to tease out from these accounts what makes writing a PBP *inherently* different – that is, what is it about the genre itself that affects the doctoral writing process. To do this, we draw from a set of 17 peer-reviewed articles where writers who have written a PBP reflect on their own experiences and identify the experiences that can be attributed to (a) the institutional setting to which the student

belongs and (b) the challenges common to doctoral students in general, in order to better isolate (c) the experiences that can be considered unique to those writing a PBP and inherently linked to the genre. Below, we briefly position our inquiry in the broader literature before turning to a more detailed description of our method and main findings.

The Doctoral Journey and the Situated Nature of Academic Writing

The existing literature on the 'doctoral journey' is massive, and while not specifying the format of the thesis, generally presupposes a monograph as the output. As we illustrate very briefly below, when it comes to identifying challenges of writing the thesis, the focus seems to be on the challenges related to learning how to conduct research and write about it, how identity is shaped along the way, and the importance of support.

Ultimately, completing a doctoral degree means writing a thesis based on original research. For doctoral students, regardless of discipline or the type of thesis they are producing, this means learning how to conduct research, how to build an academic argument, and how to find their own voices as academics and maintain a sense of ownership over their writing, while at the same time learning academic writing conventions appropriate for their discipline (see, e.g., Wisker et al., 2010; Mantai, 2017; Nygaard & Savva, 2021). It would not be an exaggeration to say that virtually all doctoral students struggle with these challenges, and a considerable amount of literature exists on challenges related to developing an academic identity (Inouye & McAlpine, 2019; McAlpine & Amundsen, 2009). Doctoral students might be challenged to reflect on themselves in relation to how they see themselves as a budding scholar, or what being an academic might mean in relation to their professional, religious, or political identities – and likewise – how other aspects of their identity (gender, class, nationality, race, etc.) might affect their identity as an academic (Jaeger & Haley, 2016; Nygaard & Savva, 2021). Thus, the doctoral journey also involves finding out who we are, who we want to become, and where we belong – both academically and in other ways (Mantai, 2019).

The specific ways in which a scholarly identity is constructed, and ways in which the doctoral journey unfolds, may depend very much on the situated context of the doctoral student. The academic literacies perspective posits that academic writing is not simply about transposing thought to paper, but also negotiating the expectations arising from the social context where the writing takes place (Lea & Street, 1998; Lillis & Scott, 2007). This perspective challenges the commonly-held idea in higher education of writing being 'autonomous' (that is, a transferable skill) and proposes that it is 'ideological' – that is, adapted to both a specific audience and specific purpose (Lillis & Scott, 2007). Students often encounter contradictory expectations when they move from one context to another or attempt to learn a new genre (Lea

& Street, 2006). The importance of situated context has at least two implications for students writing a PBP: first, the extent to which the PBP represents a new genre for the institutional setting will be important because expectations and unwritten rules about what constitutes 'excellence' in a doctoral thesis vary considerably (Wellington, 2013), and the PBP as a new genre might not be well understood or accepted. Second, students writing a PBP have to relate to more than one institutional context in the sense that they also have to navigate the expectations of scholarly journals – which have a different audience and purpose than the university mandated with conferring a doctoral degree.

A central aspect of the institutional context is the provision of support, predominately through the student–supervisor relationship (see e.g. McAlpine et al., 2020; Sverdlik et al., 2018). Presumably, writing within a context where the student and supervisor share the same idea of what the thesis should look like (and what its purpose is) will be a very different experience than writing in a context where the student feels that no one is familiar with the genre they have chosen. Although ownership of the research clearly belongs to the student, students depend on having a supervisor that is qualified to understand what they are attempting to produce – with respect to both the type of research being conducted and the genre of the writing (Wisker et al., 2010). And in most contexts, students will also rely on institutional support beyond the supervisor, such as library services, networks of other students, etc. (Mantai, 2017; Sweitzer, 2009).

The growing literature on the PBP, while more empirical than theoretical in nature, describes challenges linked both to the institutional setting and the doctoral journey itself (without necessarily distinguishing between them). Of particular relevance in this chapter is a survey conducted among recent PBP graduates from Australian institutions that identifies thesis cohesion, time pressures, managing the publishing journey, supervisory support, and university support as key challenges (Merga et al., 2019, pp. 3–9). Many of these categories also overlap with those already identified in the literature regarding the doctoral journey more broadly, and no real attempt has been made to tease out differences. Our question is thus whether any of the challenges identified by Merga et al. (2019), or in our sample, can be considered unique to the PBP. Or are they simply manifestations of the same kinds of challenges doctoral students traditionally face as a result of the nature of the doctoral journey or the specific institutional context?

Identifying the Sample

To answer our question, we examine a set of published accounts of PBP writing experiences from different institutional and geographical contexts. To ensure a broad coverage of disciplines, we searched the following databases: Academic Search Ultimate, Business Source Elite, Cinahl, ERIC, Library & Information Science Source (LISS), Library Information Science & Technology (LISTA), Medline, and MLA International Bibliography. Our search string attempted to

account for the variety of names of the format: ((PhD OR doctor*) AND (dissertation OR thesis)) AND ((manuscript-style) OR (article-style) OR (manuscript-model) OR (manuscript-option) OR (by publication) OR (by portfolio) OR (Scandinavian model) OR (sandwich model) OR (article-compilation) OR (integrated) OR (article-based) OR (alternative format)). We limited the search to include peer-reviewed material published in English from 2000, and we conducted one search in October 2020 and repeated the search in January 2021. We supplemented the database search by examining the reference lists of the articles we identified and by doing citation tracking of Robins and Kanowski (2008), which is the earliest work that we have identified that examines the process of PBP using personal reflection.

By screening the results from these searches, we identified 58 articles with the PhD by Publication as the main focus. Of these, 17 articles incorporated some element of personal reflection. The decision to limit our analysis to articles that incorporate first-hand personal reflection was two-fold. First, we were particularly interested in learning more about PBP writing experiences as told from the writers' own perspectives. Not because such accounts are somehow 'truer' than studies examining writers' experiences using other methods, such as survey or interview studies, but rather because we were interested in how the writers themselves understood and represented their own journeys. Second, using first-hand accounts provided us with a more unified body of literature allowing for more consistent comparison across studies.

Work that used vignettes or personal stories, but where the authors did not explicitly state that these accounts were their own were excluded because it was unclear whether the accounts represented their own experiences. Three of the included articles were written as a collaboration between supervisors or senior academics and students (Dowling et al., 2012; Nethsinghe & Southcott, 2015; Robins & Kanowski, 2008). We decided to include these because the student experiences were at the centre of the accounts. An overview of the articles included in the sample along with some key descriptive attributes can be found in Table 2.1.

These accounts cannot be considered 'representative' of all PBP writers because the sample is heavily skewed in terms of discipline (mostly education) and geographical context (mostly from contexts where English is the main language and Australia figures in 8 of the 17 cases). The predominance of the field of education in our material is perhaps not surprising given that the PBP is most often framed as a question about the changing nature of doctoral education, and that educational journeys are of great interest to researchers in education. In terms of geographical context, the fact that most studies are from countries where English is the main language can probably in part be attributed to our decision of including studies published in English only. However, it likely also reflects regions in which the PBP is becoming established, such as Australia and some African countries. The two articles from a UK context are both written about retrospective PBP experiences, suggesting, perhaps, that the prospective variant has yet to take hold in this context. Interestingly, our sample includes only one account from Scandinavia despite the PBP being the dominant format there. We suspect that perhaps because it has

Table 2.1 Articles included in the sample

Authors	Year	Geographical context	Field of author	Pro/ retrospective
Anderson & Okuda	2019	Canada	Applied linguistics	Prospective
Asante & Abubakari	2020	Ghana/Germany & Ghana/the Netherlands	Geography	Prospective
Chong	2020	UK	ESL/TESOL	Retrospective
Dowling et al.	2012	Australia	Geography	Prospective
Freeman	2018	United States	Education	Prospective
Frick	2019	South Africa	Education	Prospective
Grant	2011	South Africa	Education	Retrospective
Håkansson Lindqvist	2018	Sweden	Education	Prospective
Jackson	2013	Australia	Education	Prospective
Mason	2018	Australia	Education	Prospective
Merga	2015	Australia	Education	Prospective
Nethsinghe & Southcott	2015	Australia	Education	Prospective
Niven & Grant	2012	South Africa	Education	Retrospective
O'Keeffe	2019	Australia	Social science	Prospective
Peacock	2017	UK	Education	Retrospective
Robins & Kanowski	2008	Australia	Social science	Prospective
van der Hoorn	2018	Australia	Management	Prospective

become the norm, students might feel that their individual experiences are not interesting enough to be documented in an article. We have no examples from Asia or South America, but cannot say whether this is because the genre has had less uptake there, whether there might be accounts published in languages other than English, or whether our search strategies where unable to capture relevant terms used in that context.

We also note that almost all the articles are written by candidates completing a prospective PBP, which might indicate the relatively recent adoption of this thesis format in many departments while retrospective PBPs have long been an accepted format – albeit a 'non-traditional' one. Our search did not uncover any accounts written by students who dropped out or changed formats from PBP to a monograph, which might mean that some substantial challenges could be under-communicated in our material.

Our sample thus consists of highly refined versions of experiences that have been adapted, sculpted, and deemed fit for academic publication. While the refined nature of the material might be considered a weakness in that the accounts contain a high element of identity-management, our goal was to indeed harvest what the authors themselves deem significant about their experiences. Thus, we view the accounts as

self-representations where the authors point us to their own perceptions of what is interesting to others about their experiences.

Analysis

The selected articles were sorted into an Excel form with a range of descriptive categories, including reference, geographical context of the study, discipline of the writer, prospective or retrospective PBP, term used about the thesis format, and research question/aim.

Rather than beginning with pre-existing challenges, we carried out inductive thematic analysis to identify common themes and patterns across the narratives, paying close attention to what the authors highlighted as challenges. We used NVivo 12 to help us keep track of our analysis and analysed the entire article to identify what the authors pointed to as challenges. Sometimes identifying challenges was straightforward when the narratives included lists of 'lessons learned', 'advantages and disadvantages' or 'challenges and possibilities'. In other cases, we identified the challenges by reading through the narratives several times and identifying issues or moments that the writers described as problems, dilemmas, or struggles throughout the process. We then compared our list of challenges to those already identified in the literature on the PBP to arrive at a set of themes that both captured the challenges we found across the material and referenced the existing literature.

Next, we attempted to categorize each challenge as either:

(a) attributable to the institutional setting rather than the defining features of the PBP
(b) common to the doctoral journey regardless of thesis type, or
(c) unique to the PBP and inherently linked to its defining features.

In this categorization, we used a process of elimination: We began by asking whether a given challenge could be attributed to the institutional setting rather than to the defining features of the PBP because this was the most straightforward category. If the setting did not seem to explain this challenge, we considered whether it could be seen as a manifestation of a common challenge related to the doctoral journey, even if the superficial features of the experience seemed directly related to the TPB. If the experience didn't seem like something we have already seen described in the broader literature on the doctoral journey, or didn't seem like it could be directly related to institutional context, then it ended up in the third category. To be confident about saying that the experience was related to the genre of the PBP, it had to be logically tied to the defining features of the PBP (the production of stand-alone pieces aimed at publication and a narrative aimed at a thesis committee). Below, we present the challenges we identified and how we categorized them.

Challenges Associated with Institutional Setting

Many of the accounts were written by those in institutional settings where the PBP was an unfamiliar genre. One author describes being viewed as 'both a pioneer and a risk taker' and how it 'it felt like a gamble' to be among the first to write a PBP in her context (Merga, 2015, p. 295). In our material, we found three prominent challenges related to the institutional setting of the students: overcoming scepticism, manoeuvring a lack of policies and guidelines, and finding appropriate supervisory support.

Scepticism Towards the PBP

Many accounts included passages where authors described how their choice to pursue a PBP was met with scepticism from peers, potential supervisors, the scholarly community at large, or their own preconceptions. Confronting the idea that the PBP is 'easier' than a traditional thesis is echoed in several of the accounts. Niven and Grant (2012), for example, explain having to overcome 'self-doubt' because their colleagues viewed the PBP 'as a "quick-fix" solution or an "easy-way-out" to the qualification' (p. 106). Mason (2018) describes having similar feelings toward the PBP herself – 'I was instantly but inwardly dismissive, having heard the term in only negative light' (p. 1235) – when her supervisor suggested that she consider switching from a traditional monograph to writing a PBP.

Some accounts also mention facing a scepticism towards the PBP because the way the PBP is sometimes viewed as a symptom of larger neo-liberal trends in research and higher education. Anderson and Okuda (2019) speculate whether some of their colleagues saw them as 'accomplices in the neoliberal encroachment on higher education' (p. 37). For some PBP writers in our sample, the idea that the PBP produces a particular kind of neoliberal subject sparked reflections about identity, and we discuss this in more detail below.

While the scepticism described in the accounts we reviewed appears to be directly linked to the PBP as a genre, we note that this scepticism is found in contexts where the PBP is new. Thus, we argue that the kind of scepticism described in the accounts we read is linked to the novelty of the PBP in specific institutional contexts rather than to the genre itself.

Lack of Policies, Models, and Guidelines

A second set of challenges connected to the institutional setting relate to uncertainty or difficulty because the student's institution was ill-equipped to provide guidance. Chong (2020) for example, writes:

> …I was unable to find concrete guidelines for writing up my commentary. For my case, my university's guidelines for the commentary are rather vague. (…). The lack of exemplars and resources to support my writing process is one of the major challenges I faced. (p. 8)

While the lack of guidelines and models added extra uncertainty and hurdles for many of the writers in our sample, these challenges seem to be associated with the introduction of a new genre, and not the genre in and of itself. Some of the authors also point out that policies and guidelines have been put in place since they completed their PBP, meaning that PBP writers who followed them most likely did not have these same challenges – or at least not to the same degree.

Finding Appropriate Supervisory Support

As research on doctoral education frequently identifies supervisors and supervision as a defining aspect of the doctoral journey, it is not surprising that nearly all the articles in our sample mention supervisors and supervision – albeit mostly as important sources of support. While Mason (2018) was encouraged by her supervisor to consider the PBP, several of the other accounts describe having to convince supervisors to take on this thesis type. Freeman (2018), writing from a US context, describes changing several members in his supervisory committee because he needed a supervisor who was not only willing to supervise his PBP, but who also had enough institutional authority to support a non-traditional thesis choice. He says that his process 'opened my eyes to the level of respect and credibility one needs when advocating for a unique approach to the dissertation' (Freeman, 2018, p.281). Frick (2019) stresses the importance of not only finding a supervisor with knowledge of the PBP, but also an ability to help the student make an informed choice about whether to undertake a PBP in the first place.

The fundamental dynamic of understanding what kind of support the student needs (frequent meetings vs. autonomy, detailed feedback vs more global conversations, etc.) remains similar across thesis formats. However, our material (see e.g. Freeman, 2018; Frick, 2019 and Robins & Kanowski, 2008) indicates that being able and willing to supervise a PBP adds additional criteria to the list of features that make for good matches between supervisor and student. The potential for finding a supervisor that matches these criteria is greater in institutional contexts where the PBP has a longer history than in contexts where it is new.

In sum, while the negative attitudes, the lack of polices, and finding appropriate supervisory support were fundamental challenges for these authors, it seems reasonable to assume that such challenges would be less prominent in contexts where this thesis type is more established. Consequently, they might best be understood in terms of institutional context rather than as challenges inherent to the PBP.

Challenges Common to the Doctoral Journey, But with a PBP-Specific Manifestation

While the challenges discussed above relate to the status of the PBP in a situated institutional context, the accounts also describe challenges that are common to the doctoral journey in most institutional settings. The authors typically frame these as being attributable to the PBP. Here, however, we suggest that they are rather PBP-specific manifestations of challenges that doctoral students commonly face, regardless of thesis format. We identify two main challenges in this category: developing a scholarly identity and time pressures.

Developing a Scholarly Identity

Challenges related to developing a scholarly identity – of transitioning between thinking of themselves as a 'student' to thinking of themselves as a scholar in their own right – were singled out in most of the accounts. For example, one account co-written by several PBP writers and a supervisor describes one student's experience of writing for publication as a way of 'constructing an emergent scholarly identity', where 'the reception—not just the production and publication—of one's scholarship is a critical contributor to shaping one's scholarly identity, particularly for new researchers' (Dowling et al., 2012, p. 302).

The construction of a scholarly identity was sometimes framed, as we describe in the previous section, as a dilemma related to 'neoliberal identity' – where the choice of PBP as a thesis format not only had the benefit of (ostensibly) making them more employable as academics (e.g., Dowling et al., 2012), but also might inadvertently make them part of a larger neoliberal machinery. O'Keeffe (2019), for example, ponders, 'Is my use of PhD by Publication an innovative approach to the doctorate or a pragmatic response to my anxiety around securing work in a highly competitive job market?' (p. 10).

The dilemmas that arise from constructing a scholarly identity through publication might on the surface seem inexorably linked to the format of the PBP. However, we note that in many contexts, students who write a monograph are expected to publish *alongside* their thesis during their candidature, and thus face similar quandaries about performance metrics and neoliberalism. Moreover, regardless of what format is chosen, most students have moments when they reflect on the purpose of completing a PhD and what kind of academic they are becoming or want to be. However, because the PBP is embroiled in larger debates about neoliberalism in the university and the role of doctoral education, it is perhaps to be expected that – at this historical moment – PBP writers more often frame their reflections on identity in terms of the neoliberal subject.

Time Pressures

Dealing with time pressure was also mentioned in most of the accounts, with authors providing examples of challenges related to work–life balance, prioritizing different tasks, missing out on activities (such as networking, workshops or events not directly related to thesis), and managing timelines. Some accounts mention that writing for publication took time away from other types of scholarly activities. Jackson (2013), for example, explains that one of the 'opportunity costs associated with the publication pathway' was that 'it virtually eliminated time and opportunity to network with colleagues at faculty events and/or conferences due to favouring articles in journals over ranked conference papers' (p. 365). While prioritizing the writing of the thesis texts is attributed to the PBP, such decisions to focus on writing over other activities are likely to be found among monograph writers as well, and challenges with work–life balance, stress and time-management are well documented in the broader literature on doctoral experiences (see e.g., Castelló et al., 2017).

Challenges Inherent and Unique to the PBP

While the previous section highlighted frequently mentioned challenges that we think are common across thesis types but have PBP-specific manifestations, this section describes some of the challenges that are uniquely attributable to the PBP as a result of features inherent to the PBP format – that is, the production of stand-alone pieces intended for publication and an accompanying narrative aimed at a thesis committee presenting the articles as an original, and coherent, body of knowledge. We identify three sets of challenges in this category: ownership of the text; coherence between the pieces and the whole; and multiple audiences.

Losing Ownership of the Text or Writing Process

Students writing a monograph frequently complain about other commitments taking up valuable writing time, or supervisors being heavy-handed with feedback, but seldom do they feel that the text – and the process of writing it – is no longer their own. The defining features of the PBP, however, can threaten this ownership in at least two ways: through the review process of journals and through co-authorship.

When a doctoral candidate submits an article for consideration in a journal, the process is temporarily out of their hands – and beyond the control of supervisors, institutions, and universities. We pointed out that many doctoral students writing monographs publish alongside writing their dissertation and thus experience this pressure indirectly, but, as Lee (2010) has pointed out, for PBP writers, the

publications *are* the dissertation. Many of the accounts commented on the unpredictability of not knowing how long it would take for a review to come back, and, also, on the uncertainty about the outcome of the review. Lindquist (2018), for example, writes:

> The doctoral publishing process, in this study, also involves prolonged periods of time in a liminal space in which the publishing process cannot be influenced. Neither the doctoral student nor the supervisors own the publishing process. (p. 1405)

Moreover, if the reviews come back asking for substantial changes, doctoral candidates – as new scholars unfamiliar with the publishing process – may interpret the review comments as demands rather than suggestions, further threatening their sense of ownership. Asante and Abubakari (2020), for example, write:

> The comments of reviewers sometimes varied considerably on the same paper and can really be confusing for doctoral students as to what to do. Sometimes, we found the comments of reviewers to be very constructive and well founded, but other times we found them quite remote, harsh and unfounded. (p. 13)

They note the importance of having their supervisors' guidance in developing 'the independence to respond to review comments' (p. 14). Thus, supervisors can be key facilitators of regaining ownership when faced with critique and rejection in the peer review process.

However, in other situations, supervisors might erode the student's sense of ownership. In many fields, writing for publication introduces expectations of co-authorship, and co-authoring with a supervisor can be both rewarding and challenging. Mason (2018), who shifted from a monograph to a PBP about a year into her doctorate, says:

> My supervisor was open about the fact that she would have to invest more time than was allocated to her for the [PBP] approach to work, but that she would also benefit from being attributed in some of the publications. (p. 1236)

While many students see co-authorship with a supervisor as a sign of belonging to a scholarly community, others might feel a tension between the ownership that they need to have over their thesis and the deference they feel they might have to show to their supervisor as both an authority and a co-author. Although there are few explicit discussions of such tensions in our sample, perhaps because the accounts in our sample are 'success stories', Robins and Kanowski (2008) point to the importance of developing deliberate ethical and pedagogical practices for co-authorship between students and supervisors (p. 8), suggesting a fundamental tension here. Regardless of whether co-authorship experiences are viewed as positive or negative, monograph writers simply do not have co-authored elements of their thesis and thus do not face the dilemma of co-authoring with supervisors (or others) in the production of their doctoral thesis.

Establishing Coherence Between the Pieces and the Whole

The PBP consists of several stand-alone texts and a separate narrative that seeks to bind the articles together into a cohesive whole. PBP writers have a specific challenge in that not only are the 'pieces' meant to stand on their own, but also that they may be specifically tailored to the audience of a particular journal, especially in response to reviewer comments. This challenge may be particularly daunting for those writing a retrospective PBP. Niven and Grant (2012) argue that their PBP experiences of moving back and forth between pieces and whole indicate that their PBPs are 'ontologically and epistemologically different from classic PhDs' (p. 109). They write:

> We found that re-contextualising papers within the setting of a doctoral study meant that they began to shift focus or to carry meanings and significances that were not there when they were discrete, stand-alone articles. […] The whole needed to exceed the sum of the parts, yet the parts stubbornly resisted synthesis. (p. 109)

PBP writers using a prospective design describe similar challenges that can be caused by having published an idea in an earlier work that they later wish to change. Robins and Kanowski (2008), for example, note that although changes are inherent to most research processes, the PBP writer must explain shifts in thinking that take place across the articles while maintaining the coherence in the PhD project as a whole (p. 16).

Even when no dramatic changes have taken place, the effort to negotiate between the pieces and the whole leads many PBP writers to struggle with undesired overlap and repetition. Merga (2015), for example, explains that addressing the concerns of reviewers for the individual articles made repetition 'unavoidable' (p. 301). She further notes how she used the discussion section to create a clearer sense of the overarching trajectory of her PhD project.

Although many, if not most, doctoral students struggle with the coherence of their PhD projects, only PBP writers are faced with the challenge that their argument must be broken into independent pieces (each with their own contribution) and reassembled into a whole that represents an original contribution greater than the sum of its parts.

Juggling Different Purposes and Audiences

The PBP is not only made up of different independent parts that must be brought together in a coherent whole, but also each of these parts are written for different audiences and purposes. The articles are all aimed at an audience of scholarly peers for the purpose of reporting on research of common interest. However, since PBP writers report on different aspects of their research to different journals, even research originating from the same project might be framed differently to tailor to the audiences of different journals. Merga (2015) writes:

> […] as a researcher in education I needed to develop multiple appropriate authorial voices to meet the requirements of the journals to which I was submitting my work. I had a limited previous publishing history as a co-author of two articles in health promotion prior to undertaking my PhD in Education, and I was surprised by the comparative diversity of voice demanded by academic journals within the field of education. (p. 293)

The narrative that is written to bind the pieces together, however, is written for a thesis committee that is explicitly tasked with evaluating the 'doctorateness' of the candidate. In other words, while the journal articles can focus on simply reporting on research to academic peers, the thesis as a whole must demonstrate such qualities as higher-order thinking skills, research competence, and independence on the part of the doctoral candidate, and originality, coherence, and publishability in the presentation of the research (see Nygaard & Solli, 2020, and Yazdani & Shokooh, 2018). Grant (2011), who wrote a retrospective PBP, writes that while she had managed to find an appropriate voice for her journal articles, she struggled with the doctoral voice that was necessary for her narrative:

> Whilst my colleagues and supervisors reminded me that I had already established an academic voice and publication profile through the eight chronicles, it was indeed an irony that there were times when I was unable to develop my voice and agency in relation to the thesis – I could not find my doctoral voice. (pp. 256–257)

Here, Grant highlights how writing the narrative served a different purpose than writing the articles, and that she struggled to convey the more abstract (and perhaps unclear) notion of 'doctorateness'.

Similarly, Håkansson Lindquist (2018), who wrote a prospective PBP points out how writing the narrative (what she calls the capstone) involved a completely different kind of writing than writing the articles:

> I started right off and realized that the writing of the capstone involved starting all over again. Back to the concrete work of the literature review and at the same time trying to figure how to fit it all together. […] All of the things I had learned along the way about writing articles felt irrelevant. The capstone was something completely different to write! (p. 1402)

Juggling these different audiences and purposes requires PBP writers to develop their voices in a fundamentally different way than monograph writers.

Conclusion

The goal of this chapter has been to identify challenges PBP writers face which might be specific to the PBP. We have argued that challenges such as overcoming scepticism of the PBP, a lack of policies and guidelines, and finding appropriate supervisory support can be attributed to an institutional and historical context, rather than to the nature of the thesis text itself. The example from Håkonsson Lindquist (2018), who is based in a Scandinavian country where the PBP is the dominant format, illustrates how writing a PBP in a context where the PBP is common

involves fewer challenges of this type than writing a PBP where this format is still quite unusual. The importance of context is very much in line with the academic literacies perspective (Lea & Street, 1998, 2006; Lillis & Scott, 2007).

We have also suggested that challenges in our material related to developing a scholarly identity and time pressures can be understood as PBP-specific manifestations of challenges that frequently appear in the literature on doctoral education in general. These challenges can thus not be said to be exclusive to the PBP, even though they might appear – on the surface – to be directly linked to the features of the PBP genre and take somewhat different forms for PBP writers than for monograph writers.

We are thus left with three types of challenges we cannot easily attribute to context or to common doctoral experiences: potentially losing ownership of the text and writing process, negotiating the relationship between stand-alone pieces and the thesis as a whole, and writing for different purposes and different audiences. Each of these challenges is deeply linked to balancing direct engagement in the scholarly community through publication in peer reviewed journals with the demonstration of learning that is required in a doctoral programme.

What is the point in separating out what is specific to the PBP? Most doctoral students presumably only write one thesis, and arguably, to them, a challenge is a challenge, whether it is specific to the PBP or not. Similarly, does it help PBP writers to know that a particular challenge is due to their context rather than to the PBP itself? Since a genre is always embedded in a specific context, there is no way to experience a genre outside of whatever context the student finds him- or herself in. These are valid points, but fine-tuned insights about what challenges are particular to PBP writers can help tailor the support that supervisors, PhD programmes, and institutions provide. In this way, such granular knowledge can be a way to strengthen doctoral support systems, and, ultimately, benefit PBP writers.

Our study also points to the need for further empirical investigations to determine whether our analysis holds up using a more explicit comparative design and primary empirical data. For example, a study comparing reflective accounts written by monograph writers to the accounts we have analysed here, might make it possible to further articulate challenges that are common to both genres, as well as specific to each of them. There is also a need for longitudinal studies with a comparative design tracking the development of PBP writers and monograph writers over time. A comparative design might also make it possible to further articulate challenges that are common to both genres, as well as specific to each of them. Given the recent discussions about the need to renew and innovate the PhD thesis (e.g., Paré, 2017; Parry, 2020), it is likely that the diversity of thesis types will grow. Consequently, ways to understand how these genres shape doctoral trajectories and learning experiences are important future areas of investigation.

Takeaway for PhD by publication supervisors:
Candidates completing a PhD by publication can face numerous challenges related to writing and their identities as researchers. Supervision practices need to be adjusted to meet the specific needs of the PhD by publication candidates, developing ownership of texts and writing processes, writing for different audiences with different purposes, and synthesising individual publications to form a coherent research theme.

Takeaway for PhD by publication candidates:
While sharing some similarities to a traditional PhD thesis, a PhD by publication thesis is inherently different in various aspects. There are many benefits of doing a PhD by publication, but these advantages come with challenges. PhD by publication candidates may find themselves struggling with the requirements of the thesis or being questioned the value and recognition of a PhD by publication. Regardless of the challenges, it is important to develop regular, open conversations with their supervisors and maintain a peer-support community with other PhD by publication candidates who are in other universities. The use of social media technology (e.g., Whatsapp, Facebook) can help establish such inter-university communities.

References

Anderson, T., & Okuda, T. (2019). Writing a manuscript-style dissertation in TESOL/applied linguistics. *BC TEAL Journal, 4*(1), 33–52. https://doi.org/10.14288/bctj.v4i1.334

Asante, L. A., & Abubakari, Z. (2020). Pursuing PhD by publication in geography: A collaborative autoethnography of two African doctoral researchers. *Journal of Geography in Higher Education, 45*(1), 87–107. https://doi.org/10.1080/03098265.2020.1803817

Boud, D., & Lee, A. (Eds.). (2009). *Changing practices of doctoral education*. Routledge.

Castelló, M., Pardo, M., Sala-Bubaré, A., & Suñe-Soler, N. (2017). Why do students consider dropping out of doctoral degrees? Institutional and personal factors. *Higher Education, 74*, 1053–1068. https://doi.org/10.1007/s10734-016-0106-9

Chong, S. W. (2020). PhD by published work and "doctorateness": My experience at a UK university. *Innovative Practice in Higher Education, 4*(1), 1–12. http://journals.staffs.ac.uk/index.php/ipihe/article/view/204/319

deLange, T., & Wittek, L. (2014). Research genres as knowledge practices: Experiences in writing doctoral dissertations in different formats. *Journal of School Public Relations, 25*(3), 383–401. https://doi.org/10.3138/jspr.35.3.383

Dowling, R., Gorman-Murray, A., Power, E., & Luzia, K. (2012). Critical reflections on doctoral research and supervision in human geography: The 'PhD by publication'. *Journal of Geography in Higher Education, 36*(2), 293–305. https://doi.org/10.1080/03098265.2011.6383

Freeman, S., Jr. (2018). The manuscript dissertation: A means of increasing competitive edge for tenure-track faculty positions. *International Journal of Doctoral Studies, 13*, 273–292. https://doi.org/10.28945/4093

Frick, L. (2019). PhD by publication – Panacea or paralysis? *Africa Education Review, 16*(5), 47–59. https://doi.org/10.1080/18146627.2017.1340802

Grant, C. (2011). Diversifying and transforming the doctoral studies terrain: A student's experience of a thesis by publication. *Alternation, Interdisciplinary Journal for the Study of the Arts and Humanities in Southern Africa, 18*(2), 245–267.

Håkansson Lindqvist, M. (2018). Reconstructing the doctoral publishing process. Exploring the liminal space. *Higher Education Research and Development, 37*(7), 1395–1408. https://doi.org/10.1080/07294360.2018.1483323

Inouye, K., & McAlpine, L. (2019). Developing academic identity: A review of the literature on doctoral writing and feedback. *International Journal of Doctoral Studies, 14*, 1–31. https://doi.org/10.28945/4168

Jackson, D. (2013). Completing a PhD by publication: A review of Australian policy and implications for practice. *Higher Education Research and Development, 32*(3), 355–368. https://doi.org/10.1080/07294360.2012.692666

Jaeger, A. J., & Haley, K. J. (2016). My story, my identity: Doctoral students of color at a research university. *Qualitative Research in Education, 5*(3), 276–308. https://doi.org/10.17583/qre.2016.2019

Lea, M. R., & Street, B. V. (1998). Student writing in higher education: An academic literacies approach. *Studies in Higher Education, 23*(2), 157–172. https://doi.org/10.1080/03075079812331380364

Lea, M. R., & Street, B. V. (2006). The "academic literacies" model: Theory and applications. *Theory Into Practice, 45*(4), 368–377. https://doi.org/10.1207/s15430421tip4504_11

Lee, A. (2010). When the article is the dissertation: Pedagogies for a PhD by publication. In C. Aitchison, B. Kamler, & A. Lee (Eds.), *Publishing pedagogies for the doctorate and beyond* (pp. 12–29). Routledge.

Lillis, T. M., & Scott, M. (2007). Defining academic literacies research: Issues of epistemology, ideology and strategy. *Journal of Applied Linguistics, 4*, 5–32. https://doi.org/10.1558/japl.v4i1.5

Mantai, L. (2017). Feeling like a researcher: Experiences of early doctoral students in Australia. *Studies in Higher Education, 42*(4), 636–650. https://doi.org/10.1080/03075079.2015.1067603

Mantai, L. (2019). "A source of sanity": The role of social support for doctoral candidates' belonging and becoming. *International Journal of Doctoral Studies, 14*(1), 367–382. https://doi.org/10.28945/4275

Mason, S. (2018). Publications in the doctoral thesis: Challenges for doctoral candidates, supervisors, examiners and administrators. *Higher Education Research and Development, 37*(6), 1231–1244. https://doi.org/10.1080/07294360.2018.1462307

McAlpine, L., & Amundsen, C. (2009). Identity and agency: Pleasures and collegiality among the challenges of the doctoral journey. *Studies in Continuing Education, 31*(2), 109–125. https://doi.org/10.1080/01580370902927378

McAlpine, L., Castello, M., & Pyhaltö, K. (2020). What influences PhD graduate trajectories during the degree: A research-based policy agenda. *Higher Education, 80*(6), 1011–1043. https://doi.org/10.1007/s10734-019-00448-7

Merga, M. K. (2015). Thesis by publication in education: An autoethnographic perspective for educational researchers. *Issues in Educational Research, 25*(3), 291–308. http://www.iier.org.au/iier25/merga.pdf

Merga, M. K., Mason, S., & Morris, J. E. (2019). 'What do i even call this?' Challenges and possibilities of undertaking a thesis by publication. *Journal of Further and Higher Education, 44*(9), 245–1261. https://doi.org/10.1080/0309877X.2019.1671964

Nethsinghe, R., & Southcott, J. (2015). A juggling act: Supervisor/candidate partnership in a doctoral thesis by publication. *International Journal of Doctoral Studies, 10*, 167–185. https://doi.org/10.28945/2256

Niven, P., & Grant, C. (2012). PhDs by publications: An 'easy way out'? *Teaching in Higher Education, 17*(1), 105–111. https://doi.org/10.1080/13562517.2012.640086

Nygaard, L., & Savva, M. (2021). Belonging and becoming in academia: A conceptual framework. In M. Savva & L. Nygaard (Eds.), *Becoming a scholar: Cross-cultural reflections on identity and agency in an international doctorate*. UCL Press.
Nygaard, L. P., & Solli, K. (2020). *Strategies for writing a thesis by publication in the social sciences and humanities*. Routledge.
O'Keeffe, P. (2019). PhD by publication: Innovative approach to social science research, or operationalisation of the doctoral student … or both? *Higher Education Research and Development, 39*(2), 288–301. https://doi.org/10.1080/07294360.2019.1666258
Paré, A. (2017). Re-thinking the dissertation and doctoral supervision. *Journal for the Study of Education and Development, 40*(3), 407–428. https://doi.org/10.1080/02103702.2017.1341102
Parry, M. (2020, February 16). *The New Ph.D*. The Chronicle of Higher Education. https://www.chronicle.com/article/the-new-ph-d/
Peacock, S. (2017). The PhD by publication. *International Journal of Doctoral Studies, 12*, 123–135. https://doi.org/10.28945/3781
Robins, L., & Kanowski, P. (2008). PhD by publication: A student's perspective. *Journal of Research Practice, 4*(2), 1–20. http://jrp.icaap.org/index.php/jrp/article/view/136/154
Sverdlik, A., Hall, N. C., McAlpine, L., & Hubbard, K. (2018). The PhD experience: A review of the factors influencing doctoral students' completion, achievement, and well-being. *International Journal of Doctoral Studies, 13*, 361–388. https://doi.org/10.28945/4113
Sweitzer, V. (2009). Towards a theory of doctoral student professional identity development: A developmental networks approach. *Journal of Higher Education, 80*(1), 1–33. https://doi.org/10.1080/00221546.2009.11772128
Thomson, P., & Walker, M. (2010). Doctoral education in context: The changing nature of the doctorate and doctoral students. In P. Thomson & M. Walker (Eds.), *The Routledge doctoral student's companion: Getting to grips with research in education and the social sciences* (pp. 9–26). Routledge.
van der Hoorn, B. (2018). Reflections on the PhD thesis. *International Journal of Managing Projects in Business, 11*(3), 673–686. https://doi.org/10.1108/IJMPB-10-2017-0126
Wellington, J. (2013). Searching for "doctorateness". *Studies in Higher Education, 38*(10), 1490–1503. https://doi.org/10.1080/03075079.2011.634901
Wisker, G., Morris, C., Cheng, M., Masika, R., Warnes, M., Trafford, V., Robinson, G., & Lilly, J. (2010). *Doctoral learning journeys: Final report*. Higher Education Academy.
Wittek, A. L. (2013). SJANGER som struktur for doktorgradsløpet og veien videre som forsker. [GENRE as structure for the PhD trajectory and the road ahead as a researcher]. *UNIPED, 36*(4), 5–19. https://doi.org/10.3402/uniped.v36i4.23146
Yazdani, S., & Shokooh, F. (2018). Defining doctorateness: A concept analysis. *International Journal of Doctoral Studies, 13*, 31.

Kristin Solli (PhD) is an Associate Professor in the Unit for Academic Language and Practice at the University Library, OsloMet – Oslo Metropolitan University in Norway. She has published several articles and book chapters in the fields of American Studies, English for Academic Purposes, and teacher education.

Lynn P. Nygaard (EdD) is a special adviser at the Peace Research Institute Oslo (PRIO) in Norway. Her research interests include academic literacies, research productivity, and gender in higher education. In addition to publishing on these topics, she has also authored several books on academic writing for researchers and students.

Chapter 3
Ethical and Practical Considerations for Completing and Supervising a Prospective PhD by Publication

Shannon Mason and Liezel Frick

Abstract Prospective PhD by Publication may be seen as a pedagogical imperative, as it develops in doctoral researchers a wide range of knowledge and skills related to scholarly publishing that are highly valued in modern academia and beyond. However, the scholarly publishing process is one that is fraught with ethical dilemmas, politics, inequalities and biases that can negatively impact doctoral researchers' ability to succeed, regardless of the quality of their work. In this chapter, we draw on the extant literature, and on our experiences as former doctoral researchers who adopted the model and who now provide support for others, to highlight these realities. Specifically, we discuss issues related to the ethics of authorship, the nature of the scholarly publication process including biases in scholarship, and inequity in the distribution of resources and support. We conclude with some recommendations for the promotion of ethical policy and practice.

Introduction

Prospective PhD by Publication may bring a range of benefits to doctoral candidates, particularly those looking to enter a career in academia. Unlike the retrospective model which may be adopted by established researchers and those who already have a substantial body of publications (see Chap. 4), the prospective model involves doctoral researchers publishing during candidature. While not all individuals who adopt this model will be early career researchers, many are; we focus in this chapter on the Prospective PhD by Publication (hereafter "PhD by Publication") in the context of early career researcher development, and the practical and ethical considerations that arise.

S. Mason (✉)
Nagasaki University, Nagasaki, Japan
e-mail: shan@nagasaki-u.ac.jp

L. Frick
Stellenbosch University, Stellenbosch, South Africa

© The Author(s), under exclusive license to Springer Nature Switzerland AG 2022

S. W. Chong, N. H. Johnson (eds.), *Landscapes and Narratives of PhD by Publication*, https://doi.org/10.1007/978-3-031-04895-1_3

As discussed in Chap. 4 of this volume, the approach may serve as a way to enculturate doctoral researchers into the practices and politics of the neoliberal university, where scholarly publishing plays a central role in institutional reputation metrics and funding mechanisms, as well as individual career progression. However, the PhD by Publication model is fraught with potential challenges and ethical dilemmas for doctoral researchers. Acknowledging and understanding these nuanced issues may place doctoral researchers in a stronger position to decide if the PhD by Publication approach is best suited to their personal and professional goals, and may serve to better prepare them for the challenges that may impact their progress.

As explored throughout this volume, PhD by Publication is no longer considered new, although it certainly has seen growth in a wider range of geographic and disciplinary spaces in recent years. Despite its history, particularly in Europe and particularly in Science, Technology, Engineering, Mathematics and Medicine (STEMM) fields, research into the pedagogical and institutional practices supporting the PhD by Publication remains limited. Perhaps due to its relatively more recent introduction into the Humanities, Arts and Social Sciences (HASS), we are only now seeing a growth in literature exploring the intricacies of the model. This growth of the research field is welcomed, as there is a need for a more systematic understanding of PhD by Publication as a unique approach to doctoral education, not merely as an alternative thesis format. However, there are still gaps in our understanding of the ethics underlying the model, including a lack of attention to issues of bias, social justice, and inequality. In this chapter we highlight the realized and potential ethical issues surrounding the model. We draw on the extant literature as well as our personal experiences in engaging with the model (as students, supervisors, examiners, and researchers) to first outline the potential risks to doctoral researchers' academic development and personal well-being. We then discuss the implications for supporting doctoral researchers and supervisors, for promoting ethical publishing practices, and for the development of fair and responsive institutional policies.

The Ethics of Publication During the Doctorate

The major feature of the PhD by Publication that distinguishes it from other models is the central position of scholarly publishing, with the prospective model encouraging if not requiring doctoral researchers to publish their work during their candidature. However, if the goal of doctoral research is to develop "original, responsible, and ethical thinkers, and the generation of new and original ideas and knowledge", as per by the Hannover Recommendations (2019), we must critically reflect on how PhD by Publication fits in with this goal. Thus, we look to highlight the potential concerns that may impede this goal, as they relate to authorship, publishing and the publication process, and the distribution of support and resources.

The Ethics of Authorship

Co-authorship

Institutional policies vary concerning the type of papers, in terms of authorship, that can be included in a PhD by Publication submission. While ideally a doctoral researcher will be the lead author of any manuscripts to be included, co-authored papers may also be acceptable (Jackson, 2013). In a study of almost 250 graduates who adopted the PhD by Publication model in Australia, only 17% included at least one sole authored paper, compared to 95% who included at least one lead-author paper, for the most part writing with supervisors but in some cases with collaborators beyond the supervisory team (Mason et al., 2020b). Co-authorship appears to be an ideal situation with mutual benefit for both doctoral researcher and supervisor. The doctoral researcher, often newly socialized into the process of scholarly publishing, gains the expert support of an experienced researcher to assist them to navigate the publication process, a process that does not take into consideration their status as beginner researchers (Mason, 2018). For supervisors who face increasing demands on their time, and pressure to be 'productive' (Poyatos Matas, 2012), their contribution to a doctoral researchers' work may be acknowledged with authorship credit.

The supervisor and doctoral researcher relationship is one that is central to doctoral education regardless of the pedagogical model and thesis format, and the strength of this relationship can have a significant impact on the academic progress and personal well-being of doctoral researchers (Platow, 2012). In the PhD by Publication model, this relationship diversifies to include that of a co-author, introducing a different dynamic with a different set of goals (Dowling et al., 2012). While manuscript writing is a process by which doctoral researchers can develop their own authorial style (Kawase, 2015) and academic identity (Mantai, 2017), it becomes problematic when the focus is not on the development of the researcher but on publication (Paré, 2010). For example, doctoral researchers may feel pressure from supervisors to publish in particular high-impact journals, in contradiction to their own wishes and needs (Mason et al., 2021). They may be discouraged from following lines of inquiry that push standard conventions or that cross disciplinary boundaries, if it means that publication may be more difficult (Wintrol & Jerinic, 2013). In other words, doctoral researchers may feel that they lose ownership over their own research, and the important learning that goes with it.

Contribution and Attribution

There are various disciplinary norms that influence the ways in which the contribution to a study by multiple authors is communicated through author attribution (Marušić et al., 2011). Depending on the field, the first-listed author on a manuscript

may be regarded as having made the largest contribution, and has ultimate responsibility for both the scientific contribution and publication process (Tarkang et al., 2017). In some fields, the final listed author also has significance, indicating the senior-most and corresponding author, and this position may or may not reflect their level of contribution (Bhattacharya, 2010). Despite disciplinary differences and variation in journal policies (if available), it is accepted responsible practice that all authors listed in a paper have made a contribution. According to the Vancouver Principles that have been influential in guiding ethical practices in scholarly publishing beyond the medical field, to qualify as an author one must make a substantial contribution to the study design process or the data processes, as well as the writing and revising of the draft. Further, all authors must approve the final version of the manuscript, and be accountable to the work (International Committee of Medical Journal Editors [ICMJE], 2019).

Determining the contribution of multiple authors has become a key concern, voiced particularly by examiners (e.g. Sharmini et al., 2015). For doctoral researchers who adopt a traditional thesis model, issues of authorship appear less complex as they are the sole authors of monographs, although this does not acknowledge the fact that supervisors may contribute to the development of their students' submissions as so-called silent or invisible authors (Paré, 2010), to varying and generally unknown degrees. For doctoral researchers who engage in collaboration, there is a risk that their contribution may be either understated or overstated, although the inherent power imbalance in the student-supervisor relationship places the doctoral researcher in a more vulnerable position (Morse, 2009). To address this concern, most institutions require an explicit statement of how and how much the various authors have contributed to each manuscript, a practice that is also becoming increasingly adopted by journals, as recommended by ICMJE (2019).

Despite measures to ensure transparency, doctoral researchers may have limited agency as peripheral members of the academy, and thus may find it challenging to navigate the complex and established power dynamics therein. There may be an implicit expectation that supervisors be named as co-authors even if their contribution does not warrant it, a practice known as gift authorship. Although this practice is widely considered unethical, it was found to be the most common type of research fraud in the United States (Reisig, 2020). Alternatively, students may find that they are placed in a position where their author attribution "reflects their organisational status rather than intellectual contribution" (Macfarlane, 2017, p. 1196). Thus, contribution and attribution become highly sensitive issues when co-authoring. One reason that the PhD by Publication model is popular among doctoral researchers is that it allows them to develop skills and knowledge related to scholarly publishing, and in turn to build a publication profile that will potentially put them at an advantage in a competitive job market (Mason et al., 2020a). However, these same competitive forces are also felt by established researchers, and as a result, doctoral researchers may become vulnerable to exploitation. This may be particularly true where co-authorship extends beyond the supervisory team, with Mason, Merga, and Morris (2020b) finding that those who co-author outside of the apparent relative safety of their supervisory team were more likely, to a statistically significant

degree, to be in a co-author position rather than a lead position. Nevertheless, there are plenty of examples of exploitation of research students by supervisors; dealing with such exploitation can threaten their degree progression, their future careers, and their mental health (Martin, 2013).

Biases in Scholarship and the Scholarly Publication Process

Peer Review Process

Peer review is the central process by which research quality is evaluated in modern academia. The objective of the peer review process can be seen as both summative and formative. So, while it serves as a gatekeeper to determine which manuscripts are accepted and which are not (Starck, 2017), it also serves as an opportunity to improve a submission, through constructive comments provided by the reviewers (Kelly et al., 2014). PhD by Publication adds a range of additional knowledge and skills that need to be acquired by doctoral researchers, beyond those related to conducting rigorous and ethical research. Negotiating the publication journey includes writing for varied and specific audiences, selecting an appropriate outlet, submitting manuscripts using various online systems, and responding to reviewer feedback (Merga et al., 2019).

While such skills are vital for success as it is measured in modern academia, it needs to be acknowledged that the peer review process does not often align with the needs of doctoral researchers. For example, the time it takes for a manuscript to go through even a single round of review can be notoriously long (Powell, 2016), and with most doctoral researchers working to a strict completion time, this is a major source of stress (Badenhorst & Xu, 2016; Jackson, 2013; Mason, 2018). It is not uncommon for doctoral researchers to experience a rejection of a manuscript during their doctoral journey, and while this is a common part of academia that is experienced regularly by established researchers, it can be particularly stressful for doctoral researchers because of time constraints, and because it can threaten their emerging researcher identity (Merga et al., 2019). This is particularly the case if reviews are unnecessarily harsh or unprofessional, which unfortunately is far from uncommon (Mavrogenis et al., 2020).

Publishing Biases

Various biases against authors have been identified that affect the partiality of the review process, whether at the editorial review or peer review level. While journals may orient themselves as international in nature, many 'international' journals in numerous fields are dominated by studies conducted in anglophone countries such

as the United States and the United Kingdom (e.g. Bański & Ferenc, 2013; Faraldo-Cabana & Lamela, 2021). As a result, researchers from outside of these dominant centres can experience considerable challenges getting their work published (Bould et al., 2010; Patel & Kim, 2007; Yousefi-Nooraie et al., 2006), and this extends to researchers for whom English is not a native language (Lillis & Curry, 2010). Gender biases are also widely acknowledged in scholarly publishing, with papers authored by women in many disciplines and nations under-represented (Huang et al., 2020; Sá et al., 2020), and this also appears to impact women at all stages of their career, including doctoral researchers (Pezzoni et al., 2016).

In addition, there are particular types of studies that are privileged over others. While knowledge in many fields would be strengthened by replication studies, they are often not seen as novel enough to be accepted by journals looking to increase their impact factor (Martin & Clarke, 2017). Studies that report statistical significance are more likely to be published than those reporting null results (Joober et al., 2012). Particular journals may show a preference for either qualitative or quantitative study designs (Heugens & Mol, 2005), and as they are often focused on specific disciplines, publishing manuscripts may prove challenging for interdisciplinary researchers (Mäkinen, 2019; Rafols et al., 2012). This is also true for Indigenous researchers who are working within a system that is colonised and controlled by western ways of thinking and doing (Chilisa & Ntseane, 2010; Keane et al., 2017; Simonds & Christopher, 2013).

As illustrated, there are many factors that influence the outcome of a peer review, although very few are based on meritocratic principles. While writing for scholarly publications may be promoted "as a straightforward activity that anyone can achieve if they follow the rules" (Badenhorst & Xu, 2016, p. 1), in reality it is influenced by the same hierarchical structures that are pervasive in wider society. While there are some efforts to promote impartiality, such as through the adoption of double-anonymous reviewing where the identity of the author and reviewer are unknown to each other, the single-anonymous model - where the identity of the author/s is known to the reviewer - is still the norm in many fields (Bazi, 2020). Even in a double-anonymous approach, the identity of authors may be deduced, particularly in narrow research fields, and the author is known to the editorial team, which also acts as a gatekeeper (Heesen & Bright, 2021).

Publications as Proxies of Productivity and Quality

Publications are the most valuable output in modern academia, and both the quality and quantity of publications weigh heavily in employment, promotion, and funding applications. This is one of the major motivators for doctoral researchers in Australia in adopting the PhD by Publication approach (Mason et al., 2020a). Research has also shown that doctoral researchers who publish during their candidature have

higher levels of productivity through their careers (Horta & Santos, 2015). Thus, PhD by Publication could be seen as a pedagogical imperative.

However, the question posed by O'Keeffe (2020) is one that we must grapple with: is the PhD by Publication serving to operationalize the doctoral researcher? Put differently, are we encouraging doctoral researchers to think about their research in instrumental ways, measuring their success using publications as proxies for productivity and quality research (Yeung, 2019)? These proxy measures are almost exclusively quantitative in nature, related to the number of publications, the number of citations it garners over time, and the ranking of journals (which is also determined by the number of citations). As we have shown throughout this chapter, the ability to meet these expectations is dependent on various forces well beyond the control of the doctoral researcher. These forces privilege the privileged and exclude the 'other', with Fanelli (2010) finding that increased pressures to publish exacerbate this inequity. In encouraging uptake of PhD by Publication, are we perpetuating a toxic and hyper-competitive 'publish or perish' culture? Such a culture arguably encourages ethically dubious practices (Krishna & Peter, 2018), and certainly *has* a serious impact on the mental health of researchers across the world (e.g. Smith & Ulus, 2020). Rather than wielding to the demands of the neoliberal university, with its ultimate aim to encourage funding, should we instead allow doctoral researchers the "time and space to cultivate their ideas and insights, knowing that this is the proper basis for their scientific career"? (Yeung, 2019, p. 1036).

Inequitable Distribution of Resources and Support for Publication

Scholarly publication as a whole, but particularly publication as part of the doctorate, highlights prevalent and prevailing inequalities within and across academic spaces. These disparities manifest in the availability of resources, support and developmental opportunities, and inconsistent policies. Although such inequalities affect all people working in academic spaces, doctoral students may be at greater risk of being unfairly disadvantaged if publication during the doctorate is an explicit expectation. Supervisors, as well as decision-makers at institutional and national levels need to be mindful of these disparities and how they might influence publication possibilities and practices (even adversely so).

Disparity of Resources

The resources necessary to support scholarly publishing are varied and extensive, and include physical and monetary resources. Physical resources include the infrastructure necessary to conduct research, which is often linked to available funding

to support research. Research funding inequality and the effects thereof have been well documented across the globe (Li et al., 2017; O'Connor & Fauve-Chamoux, 2016; Petersen & Penner, 2014). Limitations on these resources not only limit the kinds of research possible in terms of the scale and depth of investigation (making certain kinds of research such as large scale, longitudinal studies less likely), but resultantly also limits the publishability of the research produced (Aagaard et al., 2020; Akre et al., 2011), particularly for novice authors such as doctoral students.

Monetary resources furthermore determine access to information and knowledge. Research is often limited by the accessibility to scholarly journals and books in resource-constrained environments, again limiting researchers' access to and understanding of the cutting-edge work at the boundaries to knowledge fields. The capitalist nature of publication has created an unequal global research geography. The spill-over effect of this inequality is that a lack of access to sources negatively influences the publishability of the work of researchers in resource-constrained environments. Research source accessibility is an aspect which editors and reviewers from resource-rich contexts often do not take into account in their feedback to authors from resource-constrained countries and institutions. Although Open Access (OA) publication may have a positive effect on accessibility, it is often not feasible for researchers from resource-constrained environments to publish their own research on these publication platforms, as the associated costs of OA publications is prohibitive (Christian, 2008; Gray, 2020). Such constraints may have unintended and adverse consequences, for example leading authors to consider predatory publications as an outlet for their work (Mills & Inouye, 2020). Doctoral students are possibly the most adversely affected by these publication inequalities as they often have the least access to resources and are the most dependent on institutional access to sources, and have less well-established networks through which they can negotiate alternative means of access.

Disparities in Support and Developmental Opportunities

In resource-constrained research contexts, doctoral students' access to intellectual-human resources may also be constrained. Limited supervisory capacity and skill (Cross & Backhouse, 2014; Kotecha et al., 2012), and limited support and resources to support doctoral researchers to publish (Frick, 2019; Poyatos Matas, 2012), particularly in emerging higher education systems, further perpetuates inequality in scholarship. As we reported in the previous section, support that is responsive to the needs of doctoral researchers who have caretaker responsibilities may also be limited, and this particularly disadvantages women.

Particularly in resource-constrained research contexts, supervisors themselves might still be early career researchers. This may limit their ability to facilitate productive publishing networks and opportunities for their students as they are still building their own research networks and publication profiles. If supervisors' own interests trump that of their doctoral students' development, a real risk exists for

dubious publication-related practices. But even experienced supervisors might not have experience in supervising the PhD by publication thesis format due to its relative newness in many contexts. Little published or anecdotal evidence exists of developmental initiatives that support supervisors and/or students in adopting this thesis format. The assumption that supervisors and/or students are always/already well-equipped for publication during the doctorate, and structuring a thesis in this format is arguable.

Inconsistent Policies

Neumann (2007) has shown how policy shapes practice in doctoral education. Thus, policies that govern publication during/from the PhD serves an important purpose. Yet we notice differences in policies both within and across institutions, as well as internationally (Nygaard & Solli, 2021; also see Chap. 4). For example, there are policy differences between expectations related to whether theses by publication need to be publishable or published before the PhD degree can be awarded. Differences also exist in terms of the number of articles required. There are also differences in terms of journal choice - which journals count and what kind of publications count vary considerably.

Having noted these differences does not mean we are arguing in favour of blanket standardisation. Rather, we are proposing that we first ask some key questions in interrogating such policies. What do policies related to the PhD by publication aim to achieve? Are such policies focused on supporting high quality scholarship, or are they geared towards institutional reputation and income (that often have little to do with supporting early career researcher development)? What would standardisation achieve (or, on the contrary, what would allowing for diversity enable)?

Scholarly publication is not an even or altogether fair playing field. If we do not consider how persisting inequalities influence publication during the PhD, we may set some of the bright minds of the future up for failure through no fault of their own, and perpetuate social injustice within our own research fields. It is therefore important to consider the implications for PhD by Publication for various aspects of policy and practice.

Conclusions and Recommendations

In this chapter we have highlighted some of the ethical and practical concerns related to PhD by Publication. In doing so we raise a range of complex questions that are not easily answered, but which need to be critically engaged with as the model increases in presence in more varied contexts. The overriding concern is that the focus may be easily turned away from the development of the next generation of researchers and supporting them in their creation of new knowledge, and toward the

mere production of publications, placing doctoral students at risk. The challenge is finding a balance between the desire to prepare doctoral researchers for the realities of academia, while at the same time protecting them from harm, and avoiding perpetuating broken and flawed systems. Indeed, this is no simple task, but we offer some recommendations for doctoral researchers, supervisors, and institutions.

Firstly, we encourage doctoral researchers (and their supervisors) to take time to consider carefully if PhD by Publication is the best model to suit their personal and professional needs. In a landscape where multiple options are now available, selecting the doctoral education model is one important decision among many, and it requires careful consideration. Some actions that could be taken to make this decision easier include discussions with the (potential) supervisor about their experience with the model, talking with current doctoral researchers and recent alumni, reading the related academic literature but also the many other contributions available freely online (e.g. blogs, social media posts, YouTube videos), and locating and reviewing relevant past theses in similar fields and using similar research methods.

For institutions who offer a PhD by Publication option, policy must be transparent yet flexible, developed in consideration of the realities of the publishing process, and of broader academic social systems. We therefore strongly discourage any policy that makes unreasonable demands on doctoral researchers, including those that require a certain number of publications, that require publication in journals of a particular impact factor, or that do not allow the inclusion of outputs at various stages within the publishing process (such as those still under review). Indeed, it is engagement in the scholarly publishing process that is the source of learning for the doctoral researcher, and while successful publication is an ideal outcome, this is often impacted by factors other than research quality.

While we acknowledge that supervisors are in a strong position to support doctoral researchers both academically and psychologically through PhD by Publication, and thus supervisor fit is particularly important, we stress that institutions must in turn provide adequate support to supervisors. PhD by Publication is a distinct pedagogical approach that brings with it new dynamics and unique challenges, and relevant professional development opportunities for supervisors must be made available. Further, as the time commitment required to supervise a doctoral research through this mode may be more than that required of a traditional monograph approach, this should be considered in workload allocations, with the understanding that this is a potentially wise investment for institutions which are also under pressure to increase their outputs. At the same time, institutions must place their duty of care to doctoral researchers as the utmost priority.

Thus, we recommend transparency and institutional oversight when it comes to co-authorship, noting that doctoral researchers may be unaware of the potential risks involved. Professional development should be provided for both supervisors and doctoral researchers on issues related to authorship, contribution, and attribution, as early as possible in the candidature, and ideally tailored to disciplinary norms. Co-authorship with supervisors should be permissible, but it should neither be an obligation for doctoral researchers, nor an automatic right for supervisors. Conversations with all authors regarding contribution and attribution of a paper

should occur prior to commencement, and decisions documented in writing. This could be supported through the submission of institutional proforma, allowing for oversight outside of the supervisory team. The common practice of requiring explicit details of the various contributions of authors to be included in the final submission should continue as an important mechanism for promoting transparency.

PhD by Publication provides a vehicle through which doctoral researchers can gain first-hand experience in scholarly publishing and acquire vital skills and knowledge to help them navigate the process. However, as we have discussed, scholarly publishing is far from meritocratic, and is fraught with politics and social biases that can impede a doctoral researcher's ability to get their work published (in a timely manner). Nevertheless, it is important that doctoral researchers are afforded agency over decisions related to their doctoral journey, and thus they should not be discouraged from following lines or methods of inquiry that may be considered 'risky' or 'unpopular', simply to increase the chance of publication. It is important to remember that learning does not occur as a result of publication, but through active engagement in the process and its various phases and elements.

Finally, we need to primarily ask what a PhD is about before choosing a most suitable pedagogical model and thesis format. Drawing from creativity theory, there are three related core aspects that need to be considered and balanced in considering this question - the three PhD P's - *Person*, *Process*, and *Product*. If we overemphasize one above the other, then we might end up failing to prepare doctoral researchers for the realities of academic practice, or perpetuate a toxic system that fails to facilitate the development of "original, responsible, and ethical thinkers." Such a system prioritizes metrics and reputation over the "generation of new and original ideas and knowledge" (Hannover Recommendations, 2019), and the personal well-being of the researchers of tomorrow. Universities have a duty of care to their doctoral students, regardless of the Product outcome. In this chapter we have argued for a more ethical, context-sensitive and pragmatic approach to PhD by Publication as a way in which to balance the three PhD P's.

Takeaway for PhD by publication supervisors:
Supervisors need to be aware of the inherent biases and politics in scholarly publishing that can impact PhD by publication candidates in unexpected and sometimes inequitable ways. Supervisors should be aware that supporting doctoral researchers through scholarly publishing requires different skills and resources that might be needed when supervising students adopting a traditional monograph approach, and to seek support themselves as necessary.

Takeaway for PhD by publication candidates:
PhD candidates should carefully consider the pros and cons of the PhD by publication model against their own personal and professional goals. It is important to discuss the model with supervisors early and frequently, to ensure that appropriate support will be available, to ensure agency over research, and to avoid potential disagreements, particularly in regards to co-authorship and contribution.

References

Aagaard, K., Kladakis, A., & Nielsen, M. W. (2020). Concentration or dispersal of research funding? *Quantitative Science Studies, 1*(1), 117–149. https://doi.org/10.1162/qss_a_00002

Akre, O., Barone-Adesi, F., Pettersson, A., Pearce, N., Merletti, F., & Richiardi, L. (2011). Differences in citation rates by country of origin for papers published in top-ranked medical journals: Do they reflect inequalities in access to publication? *Journal of Epidemiology & Community Health, 65*(2), 119–123. https://doi.org/10.1136/jech.2009.088690

Badenhorst, C., & Xu, X. (2016). Academic publishing: Making the implicit explicit. *Publications, 4*(3), Article 24. https://doi.org/10.3390/publications4030024

Bański, J., & Ferenc, M. (2013). "International" or "Anglo-American" journals of geography? *Geoforum, 45*, 285–295. https://doi.org/10.1016/j.geoforum.2012.11.016

Bazi, T. (2020). Peer review: Single-blind, double-blind, or all the way-blind? *International Urogynecology Journal, 31*, 481–483. https://doi.org/10.1007/s00192-019-04187-2

Bhattacharya, S. (2010). Authorship issue explained. *Indian Journal of Plastic Surgery, 43*(2), 233–234. https://doi.org/10.4103/0970-0358.73482

Bould, M. D., Boet, S., Riem, N., Kasanda, C., Sossou, A., & Bruppacher, H. R. (2010). National representation in the anaesthesia literature: A bibliometric analysis of highly cited anaesthesia journals. *Anaesthesia, 65*, 799–804. https://doi.org/10.1111/j.1365-2044.2010.06424.x

Chilisa, B., & Ntseane, G. (2010). Resisting dominant discourses: Implications of indigenous, African feminist theory and methods for gender and education research. *Gender and Education, 22*(6), 617–632. https://doi.org/10.1080/09540253.2010.519578

Christian, G. E. (2008). Open access initiative and the developing world. *African Journal of Library, Archives and Information Science, 18*(2), 1–11. https://ssrn.com/abstract=1304665

Cross, M., & Backhouse, J. (2014). Evaluating doctoral programmes in Africa: Context and practices. *Higher Education Policy, 27*(2), 155–174. https://doi.org/10.1057/hep.2014.1

Dowling, R., Gorman-Murray, A., Power, E., & Luzia, K. (2012). Critical reflections on doctoral research and supervision in human geography: The 'PhD by publication'. *Journal of Geography in Higher Education, 36*(2), 293–305. https://doi.org/10.1080/03098265.2011.638368

Fanelli, D. (2010). Do pressures to publish increase scientists' bias? An empirical support from US states data. *PLoS One, 5*(4), Article e10271. https://doi.org/10.1371/journal.pone.0010271

Faraldo-Cabana, P., & Lamela, C. (2021). How international are the top international journals of criminology and criminal justice? *European Journal on Criminal Policy and Research, 27*, 151–174. https://doi.org/10.1007/s10610-019-09426-2

Frick, L. (2019). PhD by publication–Panacea or paralysis? *Africa Education Review, 16*(5), 47–59. https://doi.org/10.1080/18146627.2017.1340802

Gray, R. J. (2020). Sorry, we're open: Golden open-access and inequality in non-human biological sciences. *Scientometrics, 124*, 1663–1675. https://doi.org/10.1007/s11192-020-03540-3

Hannover Recommendations. (2019). Forces and forms of doctoral education. https://www.doctoral-education.info/dl/Hannover-Recommendations-DocEd-2019.pdf

Heesen, R., & Bright, L. K. (2021). Is peer review a good idea? *The British Journal for the Philosophy of Science, 72*, 635. https://doi.org/10.1093/bjps/axz029

Heugens, P. P. M. A. R., & Mol, M. J. (2005). So you call that research? Mending methodological biases in strategy and organization departments of top business schools. *Strategic Organization, 3*(1), 117–128. https://doi.org/10.1177/1476127005050030

Horta, H., & Santos, J. M. (2015). The impact of publishing during PhD studies on career research publication, visibility, and collaborations. *Research in Higher Education, 57*(1), 28–50.

Huang, J., Gates, A. J., Sinatra, R., & Barabási, A. L. (2020). Historical comparison of gender inequality in scientific careers across countries and disciplines. *Proceedings of the National Academy of Sciences, 117*(9), 4609–4616. https://doi.org/10.1073/pnas.1914221117

International Committee of Medical Journal Editors. (2019). Recommendations for the conduct, reporting, editing, and publication of scholarly work in medical journals. http://www.icmje.org/icmje-recommendations.pdf

Jackson, D. (2013). Completing a PhD by publication: A review of Australian policy and implications for practice. *Higher Education Research and Development, 32*(3), 355–368. https://doi.org/10.1080/07294360.2012.692666

Joober, R., Schmitz, N., Annable, L., & Boksa, P. (2012). Publication bias: What are the challenges and can they be overcome? *Journal of Psychiatry & Neuroscience, 37*(3), 149–152. https://doi.org/10.1503/jpn.120065

Kawase, T. (2015). Metadiscourse in the introductions of PhD theses and research articles. *Journal of English for Academic Purposes, 20*, 114–124. https://doi.org/10.1016/j.jeap.2015.08.006

Keane, M., Khupe, C., & Seehawer, M. (2017). Decolonising methodology: Who benefits from indigenous knowledge research? *Educational Research for Social Change, 6*(1), 12–24. https://doi.org/10.17159/2221-4070/2017/v6i1a2

Kelly, J., Sadegieh, T., & Adeli, K. (2014). Peer review in scientific publications: Benefits, critiques, & a survival guide. *The Journal of the International Federation of Clinical Chemistry and Laboratory Medicine, 25*(3), 227–243. https://www.ncbi.nlm.nih.gov/pmc/articles/PMC4975196/

Kotecha, P., Steyn, A., & Vermeulen, P. (2012). The status quo of doctoral education in the SADC region. *SARUA Leadership Dialogue Series, 4*(1), 16–21.

Krishna, A., & Peter, S. M. (2018). Questionable research practices in student final theses–Prevalence, attitudes, and the role of the supervisor's perceived attitudes. *PLoS One, 13*(8), Article 0203470. https://doi.org/10.1371/journal.pone.0203470

Li, J., Xie, Y., Wu, D., & Chen, Y. (2017). Underestimating or overestimating the distribution inequality of research funding? The influence of funding sources and subdivision. *Scientometrics, 112*(1), 55–74. https://doi.org/10.1007/s11192-017-2402-2

Lillis, T. M., & Curry, M. J. (2010). *Academic writing in a global context: The politics and practices of publishing in English*. Routledge.

Macfarlane, B. (2017). The ethics of multiple authorship: Power, performativity and the gift economy. *Studies in Higher Education, 42*(7), 1194–1210. https://doi.org/10.1080/03075079.2015.1085009

Mäkinen, E. I. (2019). The power of peer review on transdisciplinary discovery. *Science, Technology & Human Values, 19*(3), 1–28. https://doi.org/10.1177/0162243918822741

Mantai, L. (2017). Feeling like a researcher: Experiences of early doctoral students in Australia. *Studies in Higher Education, 42*(4), 636–650. https://doi.org/10.1080/03075079.2015.1067603

Martin, B. (2013). Countering supervisor exploitation. *Journal of Scholarly Publishing, 45*(1), 74–86. https://doi.org/10.3138/jsp.45-1-004

Martin, G. N., & Clarke, R. M. (2017). Are psychology journals anti-replication? A snapshot of editorial practices. *Frontiers in Psychology, 8*, Article 523. https://doi.org/10.3389/fpsyg.2017.00523

Marušić, A., Bošnjak, L., & Jerončić, A. (2011). A systematic review of research on the meaning, ethics and practices of authorship across scholarly disciplines. *PLoS One, 6*(9), e23477. https://doi.org/10.1371/journal.pone.0023477

Mason, S. (2018). Publications in the doctoral thesis: Challenges for doctoral candidates, supervisors, examiners and administrators. *Higher Education Research and Development, 37*(6). https://doi.org/10.1080/07294360.2018.1462307

Mason, S., Merga, M. K., & Morris, J. E. (2020a). Choosing the thesis by publication approach: Motivations and influencers for doctoral candidates. *Australian Educational Researcher, 47*, 857–871. https://doi.org/10.1007/s13384-019-00367-7

Mason, S., Merga, M. K., & Morris, J. E. (2020b). Typical scope of time commitment and research outputs of thesis by publication in Australia. *Higher Education Research and Development, 39*(2), 244–258. https://doi.org/10.1080/07294360.2019.1674253

Mason, S., Morris, J. E., & Merga, M. K. (2021). Institutional and supervisory support for the thesis by publication. *Australian Journal of Education*. Advance online publication. https://doi.org/10.1177/0004944120929065

Mavrogenis, A. F., Quaile, A., & Scarlat, M. M. (2020). The good, the bad and the rude peer-review. *International Orthopaedics, 44*(3), 413–415. https://doi.org/10.1007/s00264-020-04504-1

Merga, M. K., Mason, S., & Morris, J. (2019). 'The constant rejections hurt': Skills and personal attributes needed to successfully complete a thesis by publication. *Learned Publishing, 32*(3), 271–281.

Mills, D., & Inouye, K. (2020). *Problematizing 'predatory publishing': A systematic review of factors shaping publishing motives, decisions, and experiences*. Learned Publishing. Advance online publication. https://doi.org/10.1002/leap.1325

Morse, J. M. (2009). Negotiating authorship for doctoral dissertation publications. *Qualitative Health Research, 19*(1), 3–4. https://doi.org/10.1177/1049732308326637

Neumann, R. (2007). Policy and practice in doctoral education. *Studies in Higher Education, 32*(4), 459–473. https://doi.org/10.1080/03075070701476134

Nygaard, L. P., & Solli, K. (2021). *Strategies for writing a thesis by publication in the social sciences and humanities*. Routledge.

O'Connor, P., & Fauve-Chamoux, A. (2016). European policies and research funding: A case study of gender inequality and lack of diversity in a Nordic research programme. *Policy & Politics, 44*(4), 627–643. https://doi.org/10.1332/030557315X14501227093917

O'Keeffe, P. (2020). PhD by publication: Innovative approach to social science research, or operationalisation of the doctoral student … or both? *Higher Education Research and Development, 39*(2), 288–301. https://doi.org/10.1080/07294360.2019.1666258

Paré, A. (2010). Slow the presses: Concerns about premature publication. In C. Aitchison, B. Kamler, & A. Lee (Eds.), *Publishing pedagogies for the doctorate and beyond* (pp. 42–58). Routledge.

Patel, V., & Kim, Y.-R. (2007). Contribution of low- and middle-income countries to research published in leading general psychiatry journals, 2002–2004. *British Journal of Psychiatry, 190*, 77–78. https://doi.org/10.1192/bjp.bp.106.025692

Petersen, A. M., & Penner, O. (2014). Inequality and cumulative advantage in science careers: A case study of high-impact journals. *EPJ Data Science, 3*(1), 24. https://doi.org/10.1140/epjds/s13688-014-0024-y

Pezzoni, M., Mairesse, J., Stephan, P., & Lane, J. (2016). Gender and the publication output of graduate students: A case study. *PLoS One, 11*(1), Article e0145146. https://doi.org/10.1371/journal.pone.0145146

Platow, M. J. (2012). PhD experience and subsequent outcomes: A look at self-perceptions of acquired graduate attributes and supervisor support. *Studies in Higher Education, 37*(1), 103–118. https://doi.org/10.1080/03075079.2010.501104

Powell, K. (2016). Does it take too long to publish research? *Nature, 530*(7589), 148–151. https://doi.org/10.1038/530148a

Poyatos Matas, C. (2012). Doctoral education and skills development: An international perspective. *REDU: Revista de Docencia Universitaria, 10*(2), 163–191. https://dialnet.unirioja.es/descarga/articulo/4021055.pdf

Rafols, I., Leydesdorff, L., O'Hare, A., Nightingale, P., & Stirling, A. (2012). How journal rankings can suppress interdisciplinary research: A comparison between innovation studies and business & management. *Research Policy, 41*(7), 1262–1282. https://doi.org/10.1016/j.respol.2012.03.015

Reisig, M. D., Holtfreter, K., & Berzofsky, M. E. (2020). Assessing the perceived prevalence of research fraud among faculty at research-intensive universities in the USA. *Accountability in Research, 27*(7), 457–475. https://doi.org/10.1080/08989621.2020.1772060

Sá, C., Cowley, S., Martinez, M., Kachynska, N., & Sabzalieva, E. (2020). Gender gaps in research productivity and recognition among elite scientists in the U.S., Canada, and South Africa. *PLoS One, 15*(10), Article e0240903. https://doi.org/10.1371/journal.pone.0240903

Sharmini, S., Spronken-Smith, R., Golding, C., & Harland, T. (2015). Assessing the doctoral thesis when it includes published work. *Assessment & Evaluation in Higher Education, 40*(1), 89–102. https://doi.org/10.1080/02602938.2014.888535

Simonds, V. W., & Christopher, S. (2013). Adapting western research methods to indigenous ways of knowing. *American Journal of Public Health, 103*(12), 2185–2192. https://doi.org/10.2105/AJPH.2012.301157

Smith, C., & Ulus, E. (2020). Who cares for academics? We need to talk about emotional well-being including what we avoid and intellectualise through macro-discourses. *Organization, 27*(6), 840–857. https://doi.org/10.1177/1350508419867201

Starck, J. M. (2017). *Scientific peer review*. Springer Spektrum.

Tarkang, E. E., Kweku, M., & Zotor, F. B. (2017). Publication practices and responsible authorship: A review article. *Journal of Public Health in Africa, 8*(1), Article 723. https://doi.org/10.4081/jphia.2017.723

Wintrol, K., & Jerinic, M. (2013). Rebels in the classroom: Creativity and risk-taking in honors pedagogy. *Honors in Practice, 9*, 47–67. http://digitalcommons.unl.edu/nchchip/186

Yeung, N. (2019). Forcing PhD students to publish is bad for science. *Nature Human Behaviour, 3*(10), 1036–1036. https://doi.org/10.1038/s41562-019-0685-4

Yousefi-Nooraie, R., Shakiba, B., & Mortaz-Hejri, S. (2006). Country development and manuscript selection bias: A review of published studies. *BMC Medical Research Methodology, 6*, 37. https://doi.org/10.1186/1471-2288-6-37

Dr. Shannon Mason is an Associate Professor at Nagasaki University, Japan. She is an education researcher with an interest in early career researcher development. After being one of the first in her faculty to complete a PhD by Publication, she has published a range of papers on various aspects of publishing during doctoral training, particularly for those in the social sciences.

Liezel Frick is an Associate Professor in the Department of Curriculum Studies and the director of the Centre for Higher and Adult Education at the Faculty of Education at Stellenbosch University, South Africa. Her research interests are within the broader field of doctoral education.

Chapter 4
Retrospective PhD by Publication in the UK: A Rapid Review on Educational Research Commentaries

Sin Wang Chong

Abstract As a form of alternative PhD, Retrospective PhD by Publication has been gaining popularity in UK universities, especially among experienced higher education practitioners who have substantial teaching and research experiences. Researchers have argued that a Retrospective PhD by Publication prepares candidates to excel in academia in terms of research capacity although some underscore the lack of support for candidates pursuing this doctoral route. Adopting a case study approach focusing on the discipline of Education, this chapter presents a genre analysis of six Retrospective PhD by Publication theses, focusing on their commentary component. Employing a recently developed policy-based structural framework of written commentary for a Retrospective PhD by Publication (Chong, 2021), a total of 61 structural moves were identified from these commentaries. Findings suggest that there are great variations in terms of the number of structural moves employed in the six commentaries, exhibiting individual approaches to structuring Retrospective PhD by Publication commentaries even within a small sample in a single academic discipline. Implications related to institutional policies and professional development of supervisors are discussed, as well as future research directions.

Introduction

There is a need for identifying the structural components of commentaries because they are unconventional and different from the traditional monograph-type theses which typically contain six parts (introduction-literature review-methodology-findings-discussion-conclusion) (Thompson, 1999). Through my analysis of the submission guidelines of 81 UK universities (Chong, 2021), one striking finding was that there is not a set of national standards which guide the development of such submission guidelines, rendering the requirements inconsistent across universities.

S. W. Chong (✉)
Moray House School of Education and Sport, University of Edinburgh, Edinburgh, UK

© The Author(s), under exclusive license to Springer Nature Switzerland AG 2022

S. W. Chong, N. H. Johnson (eds.), *Landscapes and Narratives of PhD by Publication*, https://doi.org/10.1007/978-3-031-04895-1_4

Perhaps the inconsistency is a result of a rather opaque description of the award of Retrospective PhD by Publication by the Quality Assurance Agency in the UK in 2011 that this alternative form of PhD is awarded based on three components: (1) a dossier of peer-reviewed publications; (2) a commentary synthesising the publications; (3) and a viva voce. This general description of award conditions has raised a number of questions which I summarise in Table 4.1.

From my analysis of UK university guidelines and my personal experience of completing a Retrospective PhD by Publication in the UK (Chong, 2020), it appears that, among the three conditions of award, commentary guidelines are the least standardised and the depth of descriptions on commentary requirements ranges from a sentence to a whole dedicated section with multiple bullet points (for an example, see Table 4.2). Because of its inconsistency, a number of problems emerge which may be detrimental to prospective candidates of Retrospective PhD by Publication and the status of such PhD:

Ineffective Supervisory Support In some UK universities, the duration for completing a Retrospective PhD by Publication can be as short as 6 months. Because of its rather intensive period of study, support and feedback from supervisors play a crucial role in the development of the candidates' commentary. Bearing in mind that the majority of the Retrospective PhD by Publication candidates are experienced academic writers with a track record of publications, the value of supervisors' feedback rests on the clarification of institutional requirements, most notably on writing a commentary. Without clear guidelines, it is difficult for supervisors to give advice pertaining to the purpose, structure, and length of commentaries, leading to confusion or in some cases, a delay in graduation. Worse still, because Retrospective PhD by Publication is still not very popular in the UK, there are few commentaries available in the public domain for supervisors and students to discuss as exemplars.

Ineffective Writing Support Graduate Schools or language centres in universities often provide academic writing support to postgraduate students especially in relation to grammatical accuracy, organisation, tone, and style. Such writing support is vital to international students whose first language is not English and can take the

Table 4.1 Award conditions of and questions about Retrospective PhD by Publication

Award condition	Issues which need to be clarified
A dossier of peer-reviewed publications	• What counts as "peer-reviewed"? • What types of publications are accepted? • How many publications are required? • Are single-authored publications preferred over co-authored publications?
A commentary synthesising the publications	• What is the purpose of writing a commentary? • What is the structure of a commentary? • How long should a commentary be?
A viva voce	• How is a viva voce for retrospective PhD by publication different from a traditional PhD or prospective PhD by publication? • Does the viva voce focus on the collection of publications or the commentary?

Table 4.2 Two examples describing Retrospective PhD by Publication commentary requirements

University	Description
Bath Spa University	"They must demonstrate, through a critical commentary and either an extensive portfolio of creative work or publications, an independent and original contribution to knowledge" (Bath Spa University, 2021).
Coventry University	"The critical overview document should be 10,000–15,000 words in length. This is effective the candidate's thesis and is the document that ultimately will be submitted to the British library (via EThOS), as per all PhD theses. The critical overview should link the outputs in the portfolio together and should include the following information as appropriate: (a) An autobiographical context for the portfolio of research outputs; (b) A chronological description tracing the development of the portfolio of research outputs; (c) An evaluative description of the originality of each output; (d) An evaluative review of the contribution made by the portfolio of research outputs to the subject or discipline area and any subsequent developments since the work was completed including published reviews of any of the submitted works and/or research outputs of citation frequency of any of the submitted works (where practicable and available); (e) A description, synthesis and evaluation of any links between the outputs and the development of the portfolio of research outputs; (f) A critical reflection using an appropriate methodology, model or theory on the candidate's development as a research practitioner; (g) Full statements on the extent of the contributions of all other persons where some or all of the outputs submitted are collaborative; (h) Conclusions and suggestions for future work" (2019, p. 9).

forms of one-on-one language advising (Ma, 2019), writing retreats (Tremblay-Wragg et al., 2021), and writing workshops (Langum & Sullivan, 2017). Nevertheless, because the Retrospective PhD by Publication commentary is a different academic genre from the traditional PhD thesis, lexico-grammatical features of the former are likely to be different from the latter, resulting in incompatibility between the types of writing support offered and the needs of the Retrospective PhD by Publication candidates. For instance, since Retrospective PhD by Publication commentary requires candidates to synthesise findings of the submitted publications (Chong, 2021), writing support which focuses on language features of reporting primary findings may not be of much use to Retrospective PhD by Publication candidates who need to learn how to express synthesis process and outcomes explicitly. Retrospective PhD by Publication candidates with no experience conducting research synthesis (e.g., systematic literature review) may find it challenging to find the right language to write a Retrospective PhD by Publication commentary (see Chap. 2 by Solli and Nygaard on challenges in writing a PhD by Publication commentary).

Recognisability of the Award Requirements for writing a Retrospective PhD by Publication commentary differ across universities. Without consistent and specific standards and regulations at a national level, it not only poses challenges on

supervision and examination but may also negatively affect how others perceive the quality of the degree (Wilson, 2002). In turn, it may affect the employability of Retrospective PhD by Publication graduates who seek a tenured position in academia.

This chapter is a continuation of Chong (2021) published in *Innovations in Education and Teaching International* (Taylor & Francis) in which I presented a genre analysis of thesis guidelines of 81 universities in the UK. The outcome of this genre analysis is a structural framework of Retrospective PhD by Publication (also called "PhD by Published Work") commentary containing 10 components. Using the Education discipline as a case study, this chapter presents the second part of the genre analysis examining how these 10 structural components are realised in Retrospective PhD by Publication theses in the UK. The analysis focuses on specific structural "moves" within each structural component in the framework and presents various approaches to organising a Retrospective PhD by Publication thesis (also known as "commentary").

Methodology

In 2020, I conducted a search on the UK universities which offer a Retrospective PhD by Publication degree. Focusing on the 161 UK universities listed in UniRank (2020), 81 of these universities were identified as offering a Retrospective PhD by Publication, either to the public or to graduates/members of staff. These 81 universities are listed in Fig. 4.1.

The guidelines on Retrospective PhD by Publication of these 81 universities were extracted, collated, and inputted into *Sketch Engine*, a cloud-based text analysis software, for analysis (for details about the analysis, refer to Chong, 2021). The text analysis generated 224 word bundles which were analysed through open coding (Charmaz, 2006), resulting in a total of 15 categories (Table 4.3). These categories were then grouped together to form 10 structural components of a Retrospective PhD by Publication commentary (Table 4.4).

Employing the 10 sections identified in Chong (2021) as the analytical framework (Table 4.4), this rapid review employs a genre analysis and case study approach to analyse how these structural components are put into practice. Specifically, as an educational researcher based in the UK, I purposefully selected Education as a case discipline and the UK as a country in focus to enable me to interpret findings from an insider's perspective. In this chapter, I aim to address the following research questions:

- How are these 10 sections ordered in the included Retrospective PhD by Publication commentaries?
- What are the specific structural moves in the included Retrospective PhD by Publication commentaries?

Fig. 4.1 81 UK universities offering a Retrospective PhD by Publication (you can access an interactive Google Map using this link: https://www.google.com/maps/d/edit?mid=1HadqJf1DE-lbkN0r5kVQhhRMai-wQhHq&usp=sharing). (Google Map)

Table 4.3 Coding scheme of commentary requirements

	Name of category	Number of codes	Example of codes (word bundles
1	Description of the published work	33	"Chronological description", "full bibliography"
2	Review of relevant literature	29	"Context of existing literature", "literature review"
3	Critical appraisal of the published work	25	"Critical overview", "critical appraisal"
4	Original contribution of the published work	20	"Original contribution", "significant contribution"
5	Name of the "commentary" document	20	"Introductory chapter", "integrative chapter"
6	Authorship declaration of the published work	19	"Independent contribution", "acknowledgement of sole authorship"
7	Coherence of the published work	17	"Coherent study", "coherent body of academic work"
8	Description of the research methodology	10	"Research methodology", "rigour of research process"
9	Reflection on the research process and professional development	10	"Research practitioner", "evidence of appropriate research training"
10	Number of words	9	"Word count", "maximum word length"
11	Sections of the commentary	9	"Final title", "reference section"
12	Comparative requirements with a traditional PhD thesis	6	"PhD student", "PhD thesis"
13	Submission-related regulations	6	"British library", "staff member"
14	Viva voce examination	5	"Oral examination", "viva voce examination"
15	Inclusion of evidence	4	"Other appropriate evidence", "appropriate evidence"

Genre analysis, which is essentially a pedagogical approach to teaching academic and research English, is grounded on three notions: discourse community, genre, and task, intertwined by the emphasis of communicative purpose (Swales, 1990). Therefore, genre analysis does not only concern the analysis of structural moves (schematization of structures) but their respective discourse functions. An example of structural moves and discourse functions is Swales' (1990) Create a Research Space (CARS) model. According to this model, Swales (1990) contended that a typical introduction of research articles contain three moves: "establishing a territory"; "establishing a niche"; and "occupying the niche" (p. 80). Each of these moves is underpinned by a number of obligatory and optional steps. For instance, to "establish a territory", authors usually employ moves to "claim centrality", "generalise the topic", and "review previous research" (Swales, 1990, p. 80). Genre analysis has been applied to better support doctoral students in their thesis writing endeavours. English for Specific Purposes (ESP) researchers in the past decades have ventured to explore challenges faced by doctoral students (e.g., Casanave & Hubbard, 1992) and unravel the rhetorical moves of the thesis genre, although

Table 4.4 Structural components of a written commentary for a Retrospective PhD by Publication (based on Chong, 2021)

Name of the section	Purpose of the section	Related code number
Title page	To state the title of the thesis	11
Literature review	To review relevant and recent literature on the research theme to provide contextual information for the discussion of the published work	2
Research questions	To state the research question(s) which guides the discussion of findings in the published work	11
Research methodology	To detail the research methodologies and methods used in the published work	8
Authorship declaration	To clarify individual contributions of co-authored work	6
Description and discussion of the published work	To document bibliographical information of the submitted body of work and critically discuss the studies by highlighting their originality, contributions, and coherence	1, 3, 4, 7
Future research directions	To underscore your future research programme based on the submitted body of work	11
Reflection	To reflect on the research process and professional development as a researcher	9
References	To include a list of cited work	11
Appendices	To include appropriate evidence to substantiate your descriptions and claims e.g., number of citations/views as evidence of impact	15

mostly focusing on the master's level (Paltridge, 2002). These studies often adopt a genre analysis approach to dissect sections of theses to identify their macro-structures as well as rhetorical moves of a particular section. Factors affecting textual structure of PhD theses are also investigated, including language used to write the theses (Soler-Monreal et al., 2011) and disciplines (Kanoksilapatham, 2015).

This chapter reports on a rapid review, which is "a form of knowledge synthesis in which components of the systematic review process are simplified or omitted to produce information in a timely manner" (Tricco et al., 2015, p. 1). Rapid reviews are often conducted when there are limitations in terms of resources (e.g., number of reviewers) and time. Khangura et al. (2012) reported that rapid reviews are usually completed in less than five weeks while Tricco et al. (2015) found that the time needed to complete a rapid review is within 12 months. Although some criticise the value of rapid reviews because of the lack of replicability (Ganann et al., 2010), Khangura et al. (2012) contended that rapid reviews are "evidence summaries" which are particularly useful for practitioners or policymakers (p. 2). Since the findings garnered from this chapter are likely to be used by Retrospective PhD by Publication supervisors, students, and universities offering such PhD route in the UK, I find the rapid approach to systematic literature review suitable.

Focusing on Retrospective PhD by Publication commentaries in Education, search was conducted on 29 January 2021 on British Library EthOS e-theses online service using the search string: "education" AND ("by Publication" OR "by

Table 4.5 Inclusion and exclusion criteria

	Inclusion criteria	Exclusion criteria
Language	The thesis is written in English.	The thesis is not written in English.
Location	The thesis is published by a UK university.	The thesis is published by a university outside of the UK.
Type of PhD	The thesis is for a retrospective PhD by publication.	The thesis is for a traditional PhD or prospective PhD by publication.
Topic	The topic of the thesis is related to education.	The topic of thesis is not related to education.

Published Work"). The search yielded 13 results. Among the 13 results, two were discarded because they could not be accessed. 11 Retrospective PhD by Publication commentaries in Education commentaries were downloaded. I then scanned the titles, abstracts, and table of contents to determine whether they comply with the inclusion and exclusion criteria (Table 4.5).

Finally, five of the commentaries were discarded because four were not education-related and one of them is a protected file,[1] resulting in a total of six commentaries included for data extraction and analysis. It should be noted that there is a lack of naming convention with Retrospective PhD by Publication among UK universities (see Chong, 2021); therefore, it is crucial to determine that the included commentaries are for the *retrospective* but not *prospective* route of PhD by Publication. To do so, I reviewed the type of PhD degree stated in the thesis (e.g., the name "PhD by Published Work" usually denotes Retrospective PhD by Publication in the UK), the table of contents, and the bibliographical information of the published works (e.g., the inclusion of works with different co-authors which spanned across a decade is an indication that this is a Retrospective PhD by Publication). Table 4.6 summarises the information of the included commentaries.

Data extraction and synthesis were performed using NVivo 12. For data extraction, specific sections of the commentaries were coded according to the 10 structural components identified in Chong (2021). Then, open coding was employed to identify structural moves within each section.

Findings

The average number of words of the included commentaries in educational research is 18,035, with a trend of having lengthier commentaries in recent years. For example, Simmons (2009) includes a commentary of only 10,906 words but Procter

[1] To focus the analysis on the commentary and to count the number of words, the pdf file needs to be extracted and converted into Word document using Adobe Pro DC. However, one of the theses is protected so extraction and conversion could not be performed.

Table 4.6 Retrospective PhD by Publication commentaries (n = 6)

Author (year)	Title	University	Length	No. of publications
Cush (2011)	Championing the underdog: A positive pluralist approach to religious education for equality and diversity	University of Warwick	17,124 words	28
Pandya (2016)	Faith, spirituality and social work education: Deliberating guru-led and Hindu-inspired faith movements	University of Warwick	20,096 words	13
Procter (2019)	Pragmatic constructivism in higher education	University of Salford	25,078 words	6
Simmons (2009)	Further education, political economy and social change	University of Huddersfield	10,906 words	8
Burgos (2015)	Digital anthropology and educational eGames: Learning through behavioural patterns in digital, game-based contexts	University of Westminster	22,029	9
Thompson (2011)	Further education and social inclusion under new labour: Studies in the (re) production of class-based inequalities through post-compulsory education and training in England	University of Huddersfield	13,775 words	7

(2019) writes a commentary of 25,078 words which is more than a double of the former. Such trend is evident not only across but within institutions. For instance, Cush (2011) and Pandya (2016) are both commentaries from University of Warwick but Pandya's (2016) commentary is nearly 4000 words more than that of Cush (2011). A similar situation is also noted in University of Huddersfield, with Thompson's (2011) commentary slightly lengthier than Simmons' (2009). Reasons for having the inclination of a more elaborate commentary are not apparent from the analysis of the texts alone. This warrants further investigations by interviewing supervisors and students in Retrospective PhD by Publication programmes in the UK (Fig. 4.2).

Title Page

The title pages of the six theses do not differ significantly from that of a traditional PhD thesis. The information contained on the title page includes: (1) the title of the thesis, (2) the name of the PhD candidate, (3) the affiliation of the candidate, (4) the type of degree submitted for, and (5) the date of submission. Among the six, two of the title pages do not specify the type of PhD but only include "Doctor of Philosophy" (Burgos, 2015; Procter, 2019). One thesis includes additional information on the title page to indicate a two-volume structure of the thesis, including a commentary and the dossier of publications (Cush, 2011).

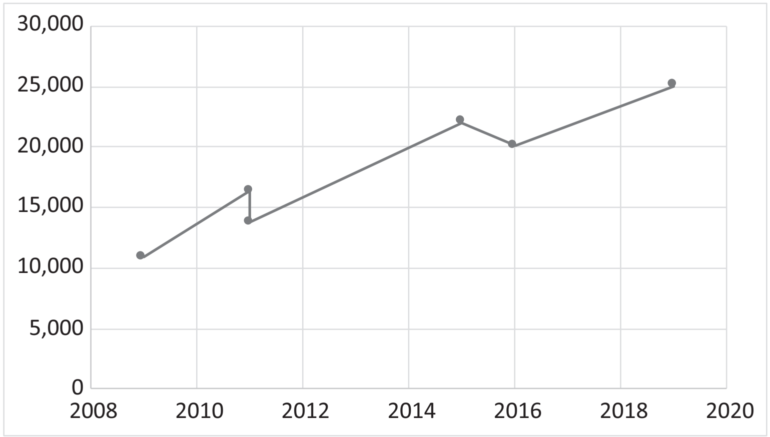

Fig. 4.2 Number of words in commentaries (n = 6)

Acknowledgement

All six commentaries begin with an acknowledgment section. In this section, the researchers express their gratitude to people in their professional and personal lives who supported their research. Table 4.7 shows the structural moves within the acknowledgment section.

The most common structural move is to show appreciation to the supervisors, followed by "thanking fellow researchers" and "thanking family or friends". Few of the included commentaries include a paragraph or two about the research topic (e.g., Pandya, 2016) and for acknowledging the support of the research participants (e.g., Procter, 2019). Finally, the acknowledgement section may include a part for "sharing aspiration" (Pandya, 2016), "thanking co-authors" (Thompson, 2011), "thanking journal editors" (Pandya, 2016), and "thanking university" (Burgos, 2015). Among the four moves, two of them are peculiar to Retrospective PhD by Publication, including "thanking co-authors" and "thanking journal editors". In Thompson (2011), the author thanks a co-author for "his inspiration and challenge during our co-authorship of a number of articles over the last four years" (p. 3). Since the UK universities which offer Retrospective PhD by Publication tend to accept co-authored publications, it is not uncommon for commentaries to explicitly acknowledge the support and contribution of co-authors. For an analysis on authorship declaration, please refer to section "Authorship declaration and list of publications". Another interesting case is Pandya (2016) who includes a dedicated paragraph to thank the editors of the journals who oversaw the peer-review process of the publications. In the paragraph, the author mentions the names of the editors and the journals to express gratitude, and on the other hand, to document a record of submission history of the works presented in the commentary.

Table 4.7 Structural moves of the acknowledgement section

Name of code	No. of commentaries with the code	Total no. of the code
Acknowledgement – Thanking supervisor	6	6
Acknowledgement – Thanking fellow researchers	4	4
Acknowledgement – Thanking family or friends	3	3
Acknowledgement – Introducing topic	2	2
Acknowledgement – Sharing aspiration	1	2
Acknowledgement – Thanking participants	2	2
Acknowledgement – Thanking co-authors	1	1
Acknowledgement – Thanking journal editors	1	1
Acknowledgement – Thanking university	1	1

Abstract

In some of the commentaries, an abstract follows the acknowledgement section which includes five structural moves (Table 4.8).

The most typical move in an abstract is to summarise the main messages of the commentary. For instance, Procter (2019) introduces a number of overarching themes in his commentary. Another common move in this section is to provide a summary of the publications. The specific focus here is not to present discrete summaries of the included publications but to demonstrate coherence among them. In Simmons (2009), for example, the author argues that "[c]ollectively, the publications constitute an original and significant contribution to understanding further education and the social and economic context within which it is placed" (p. iv). Exceptional moves include introducing background of the research topic (Thompson, 2011), introducing theoretical underpinnings of the body of works (pragmatic constructivism in Procter, 2019), and summarising contributions of the thesis (the practical contributions mentioned in Procter, 2019). An exception is Pandya (2016) in which the author introduces the background of the body of research in a discrete and unique section called "Foreword" (p. vii-x).

Authorship Declaration and List of Publications

Two of the commentaries (Procter, 2019; Simmons, 2009) discuss issues pertaining to authorship and contributions in co-authored papers. Two distinctive approaches are employed in these two commentaries. In Procter (2019, p. xiii), a more evidence-based approach is adopted in which he provides proofs from his co-authors affirming his authorship status and the proportion of his contributions (e.g., "I am happy that we apportion the authorship of that book chapter 50/50".).

Table 4.8 Structural moves of the abstract section

Name of code	No. of commentaries with the code	Total no. of the code
Abstract – Summarising themes in the commentary	4	5
Abstract – Introducing publications	3	4
Abstract – Introducing background	1	1
Abstract – Introducing theoretical underpinnings	1	1
Abstract – Summarising contributions	1	1

Simmons (2009), on the other hand, acknowledges the values of co-authoring papers with colleagues and clarifies his own contributions in the co-authored works through descriptions:

> *In the final co-authored publication, Creativity and performativity, it is possible to identify the contribution of each author by section. Thompson provided much of the discussion of creativity and recent developments around the creativity agenda in education generally. I focused on providing the historical and policy context for the paper and on developing an analysis of the creativity agenda as applied to FE in particular.* (pp. 5)

Four other commentaries (Cush, 2011; Pandya, 2016; Procter, 2019; Burgos, 2015) include a separate section to list out the publications included in the thesis. This section contains bibliographical information of the included publications. Pandya (2016) and Burgos (2015) go further to insert another section after the list to justify the selections of journals as publication avenues. Specifically, Pandya (2016) outlines the match between the publications and the remits of the journals they are published in, and argues that all these journals "have a good standing" (p. xiv).

Introduction

The next section is the introduction which contains obligatory and optional structural moves (Table 4.9).

The most common move in the introduction section is to present an overview of the publications which resembles the communicative function of the abstract but done in a relatively more detailed manner (e.g.,Simmons, 2009 ; Thompson, 2011). Other typical moves include (1) providing an overview of the commentary (Procter, 2019; Simmons, 2009; Thompson, 2011), (2) reflecting on authors' experiences (Cush, 2011; Procter, 2019), (3) listing publications (Simmons, 2009; Thompson, 2011), and surveying the research field (Burgos, 2015; Pandya, 2016). A unique move in the introduction in Retrospective PhD by Publication commentaries is authors' reflection on their own experiences. Two commentaries include reflections on the authors' experiences as researchers and how their professional experiences and/or personal philosophies influence the body of works they publish. Below is an extract from Cush (2011):

Table 4.9 Structural moves of the introduction section

Name of code	No. of commentaries with the code	Total no. of the code
Introduction – Providing overview of the publications	6	10
Introduction – Providing overview of commentary	3	4
Introduction – Reflecting on experience	2	3
Introduction – Surveying the field of research	2	3
Introduction – Listing publications	2	2
Introduction – Summarising the chapter	1	2
Introduction – Linking background with topic	1	2
Introduction – Summarising impact of papers	1	1
Introduction – Signposting	1	1
Introduction – Introducing theoretical underpinning	1	1
Introduction – Introducing objective	1	1
Introduction – Introducing research questions	1	1
Introduction – Introducing context of research	1	1

> *It is 25 years since my first publications in professional and academic journals… and thus a suitable point to reflect on my contribution to the discipline, or rather disciplines, of Religious Education and Religious Studies. Although the majority of my published work relates to religious education, my teaching and administrative career has included both religious studies and religious education, and I have also published materials relating to the religions themselves and the teaching of religious studies at university level.* (pp. 9)

It is also worth noting that in some commentaries, the list of publications is included not as a separate section but is embedded in the introduction section. Thompson (2011), for example, not only collates the list of publications but categorises the included publications into four themes in the introduction.

Eight of the structural moves in Table 4.9 are peculiar to a particular commentary; these have to do with such discourse functions as (1) introducing (n = 4), (2) summarising (n = 2), linking (n = 1), and signposting (n = 1). New information introduced in the introduction section includes the (1) research field (Burgos, 2015), (2) context of the research (Procter, 2019), (3) theoretical underpinning (Procter, 2019), (4) objective (Burgos, 2015), (5) research questions (Thompson, 2011). Summaries provided in the introduction focus on the chapter itself (Procter, 2019) and the impact of the included papers (Procter, 2019). It is interesting to see that one of the moves in Procter's (2019) introduction is the inclusion of a short section about impact of the included papers. In this section, the author shares information related to the papers' numbers of citations and downloads.

Literature Review

Surprisingly, literature review does not appear to be a compulsory structural component in these six commentaries. Among the four moves within this section (Table 4.10), the relatively common one – the discussion of related concepts and

Table 4.10 Structural moves of the literature review section

Name of code	No. of commentaries with the code	Total no. of the code
Lit rev. – Discussing related concepts or notions	3	4
Lit rev. – Introducing theoretical or philosophical construct	2	2
Lit rev. – Discussing phenomenon	1	2
Lit rev. – Summarising the chapter	1	1

notions, is only identified in three commentaries (Procter, 2019; Simmons, 2009; Thompson, 2011). It is followed by the introduction of theoretical or philosophical frameworks, which is found in two of the commentaries ("constructivism" in Procter, 2019; "social reproduction" in Thompson, 2011). Only one commentary discusses related social or educational phenomena ("globalisation" in Simmons, 2009) and provides a summary of the literature review chapter (Procter, 2019).

Research Questions

Only one included commentary includes a separate section on research questions. Burgos (2015) presents a detailed table documenting all the research questions extracted from the papers included in the PhD thesis. Another commentary which includes a set of research questions for the commentary is Thompson (2011), which he incorporates into his introduction section (p. 8). It is interesting to notice the diverse natures of research questions in Burgos (2015) and Thompson (2011) – while Burgos' (2015) research questions are those raised in individual papers, research questions in Thompson (2011) are "meta-research questions" which aim to synthesise the research findings from individual studies.

Research Methodology

The section of methodology is a compulsory component in any traditional PhD thesis; nevertheless, it is clearly not the case for a Retrospective PhD by Publication in Education because not every commentary included for analysis contains a discrete section on research methodology[2] (Table 4.11).

[2] An absence of a discrete research methodology section should not be interpreted as a lack of methodological rigour of the thesis because some of the commentaries adopt an alternative approach to discussing methodologies – methodologies of individual papers are reported when they review the studies in a later section. Moreover, one should not forget that every publication included in the thesis contains its own methodology section (if the papers are primary studies).

Table 4.11 Structural moves of the research methodology section

Name of code	No. of commentaries with the code	Total no. of the code
Method – Discussing methodological approach	4	7
Method – Discussing research paradigms	2	2
Method – Discussing research methods or designs	1	1
Method – Discussing educational philosophies	1	1
Method – Discussing data collection	1	1
Method – Discussing data analysis	1	1
Method – Discussing ethical issues	1	1
Method – Summarising the chapter	1	1

A structural move which is observed in slightly more than half of the included commentaries is to discuss methodological approaches; methodological approaches mentioned in these commentaries include "experimental and practical approaches" (Burgos, 2015, p. 15), "project management approach" (Procter, 2019, p. 49), "policy scholarship" (Thompson, 2011, p. 24), phenomenology and ethnography in Cush (2011). Besides, two commentaries outline the research paradigms which inform the included studies; these include "positivist and interpretivist research paradigms" (Procter, 2019, p. 46) and a pedagogy-informed research paradigm (Cush, 2011). Structural moves which seem to be atypical in the pool of commentaries include the discussions on educational philosophies (Procter, 2019), research design (Burgos, 2015), data collection (Thompson, 2011), data analysis (Thompson, 2011) and ethical issues (Procter, 2019), as well as a chapter summary (Procter, 2019).

Description and Discussion of the Published Work

Three approaches to reporting findings in the included publications are identified from the six commentaries (Table 4.12).

The approach adopted by half of the commentaries is to organise the findings by publications (Cush, 2011; Pandya, 2016; Procter, 2019). In these commentaries, they make use of the titles (Cush, 2011; Procter, 2019) and topics of individual publications (Pandya, 2016) as sub-headings. Another way of structuring this substantial section of the commentary is by themes (Burgos, 2015; Thompson, 2011). The two commentaries which adopt this method of organisation focuses on *synthesising* instead of *summarising* findings. Burgos (2015), for example, code the themes and present them following one another (e.g., "Theme TH-03 (Feedback and Interaction)" on p. 28–29). Thompson (2011), on the other hand, is less explicit with the themes; instead, he focuses on synthesising the significance of his publications:

> *These papers contribute to understanding how the state constructs models of professionalism in FE, and the ways in which the reworking of earlier professionalism has continued… Together with the papers on E2E, and Social Class, they also discuss how differences in the positioning of FE and schools within the educational system…* (pp. 30)

Table 4.12 Structural moves of the description and discussion of the published work section

Name of code	No. of commentaries with the code
Description and discussion – By publications	3
Description and discussion – By themes	2
Description and discussion – Absence	1

One commentary, Simmons (2009), does not include a section for discussing findings of the attached publications. Instead, he succinctly summarises the contributions of his publications in the conclusion section in a few sentences, signifying the function of the commentary as one which is *introductory* rather than *synthetic*:

> *In summary, the papers in this submission constitute a sustained critique of the further education system in England. There are multiple inter-connections between them, which collectively, show that over recent years FE has been subject to far-reaching and profound change.* (pp. 21)

Conclusion

Multiple discourse functions are noted and exemplified by the following structural moves in Table 4.13.

The only compulsory structural move in this set of commentaries is the discussion of the collective contributions of the included publications. For example,

> *Taken together, the publications and commentary constitute a sustained, critical and original contribution to knowledge in the field.* (Thompson, 2011, p. 34)

Half of the included commentaries also underscore contributions of individual studies by the candidates (Pandya, 2016; Procter, 2019; Simmons, 2009) as well as future research directions (Burgos, 2015; Cush, 2011; Procter, 2019). One-third of the commentaries summarise the research themes of the submitted publications (Pandya, 2016; Thompson, 2011) or reflect on their experience in conducting these studies (Cush, 2011; Procter, 2019). In particular, the latter is unique to Retrospective PhD by Publication. The example below shows how a candidate reflects on her experience of completing this alternative PhD route:

> *It has been an interesting exercise to review my publications over the last 25 years, observing my perennial advocacy of a pluralist religious education that is genuinely for all, applying the principle of equality to religious diversity, and the principle of 'epistemological humility' to questions of truth. It is also interesting to reflect upon the main intellectual influences and experiences that have led me to write about the particular themes that I have, influences and experiences which include Indian worldviews, the youth culture of the late 1960s/early 70s, Christian theologies, feminism, my experience of teaching at sixth form and university level, and within religious studies and religious education, the work of Ninian Smart and the department at Lancaster University and of Robert Jackson and the Warwick Religions and Education Research Unit.* (Cush, 2011, pp. 65)

Table 4.13 Structural moves of the conclusion section

Name of code	No. of commentaries with the code
Conclusion – Discussing contributions collectively	6
Conclusion – Discussing contributions of individual studies	3
Conclusion – Outlining future research directions	3
Conclusion – Summarising themes	2
Conclusion – Reflecting	2
Conclusion – Summarising current state of the art	1
Conclusion – Summarising methodologies	1
Conclusion – Providing proof of impact	1

The least common function of the conclusion section appears to be “summarising”. Only one commentary provides a summary of the methodologies used in the studies. Regarding proof of impact of publications, Procter (2019) reports the numbers of citations and downloads, as well as the publications’ “impact on students” in this last main section of the commentary (p. 70).

References and Appendices

The references section of the six commentaries do not exhibit any distinct differences with that in a traditional PhD thesis, referencing all the works cited in the main body of the commentaries. Additionally, some commentaries include appendices. These commentaries make use of appendices to (1) summarise publication information (Burgos, 2015; Pandya, 2016); (2) tabulate authorship information (Burgos, 2015 indicates the percentages of contributions in publications); (3) tabulate impact information (Burgos, 2015 summarises journals’ impact factors and rankings).

Discussion and Conclusion

Table 4.14 summarises the structural moves of the six commentaries with reference to Chong’s (2021) policy-informed analytical framework (Table 4.14). “1” in the table denotes the presence of structural moves while “0” means an absence of structural moves. For instance, next to the move “0 : Title page – Displaying information about the commentary”, “1” under each of the six commentaries shows that all six commentaries include this structural move. The number of structural moves employed in the six commentaries ranges from 14 (Cush, 2011) to 33 (Procter, 2019); on average, 21 out of the 61 structural moves are employed (34%), exhibiting idiosyncratic approaches to organising Retrospective PhD by Publication commentaries even within a small sample in a single academic discipline. As a caveat,

Table 4.14 61 structural moves in the Retrospective PhD by Publication commentaries (n = 6)

Chong (2021) framework	Structural moves	A: Burgos (2015)	B: Cush (2011)	C: Pandya (2016)	D: Procter (2019)	E: Simmons (2009)	F: Thompson (2011)
Title page	0 : Title page – Displaying information about the commentary	1	1	1	1	1	1
N/A	1 : 1.1 Acknowledgement - introducing topic	1	0	1	0	0	0
	2 : 1.2 Acknowledgement - sharing aspiration	0	0	1	0	0	0
	3 : 1.3 Acknowledgement - thanking co-authors	0	0	0	0	0	1
	4 : 1.4 Acknowledgement - thanking family or friends	0	1	1	1	0	0
	5 : 1.5 Acknowledgement - thanking fellow researchers	1	0	0	1	1	1
	6 : 1.6 Acknowledgement - thanking journal editors	0	0	1	0	0	0
	7 : 1.7 Acknowledgement - thanking participants	0	0	1	1	0	0
	8 : 1.8 Acknowledgement - thanking supervisor	1	1	1	1	1	1
	9 : 1.9 Acknowledgement - thanking university	1	0	0	0	0	0
	10 : 2.1 Abstract - introducing background	0	0	0	0	0	1
	11 : 2.2 Abstract - introducing publications	0	0	1	0	1	1
	12: 2.3 Abstract - introducing theoretical underpinning	0	0	0	1	0	0
	13 : 2.4 Abstract - summarising contributions	0	0	0	1	0	0
	14 : 2.5 Abstract - summarising themes in the commentary	0	0	1	1	1	1
	15 : 2.6 Foreword - introducing background	0	0	1	0	0	0
Authorship declaration	16 : 3.1 Authorship - acknowledging values of co-authored papers	0	0	0	0	1	0
	17 : 3.2 Authorship - clarifying contributions	0	0	0	0	1	1
	18 : 3.3 Authorship - proofing authorship and apportionment	0	0	0	1	0	0
	19 : 3.4 List of published works	1	1	1	1	0	0

N/A	20 : 4.1 Intro - introducing context of research	0	0	0	1	0	0
	21 : 4.10 Intro - signposting	0	1	0	0	0	0
	22 : 4.11 Intro - summarising impact of papers	0	0	0	1	0	0
	23 : 4.12 Intro - summarising the publications	1	1	1	1	1	1
	24 : 4.13 Intro - summarising the chapter	0	0	0	1	0	0
	25 : 4.2 Intro - introducing research questions	0	0	0	0	0	1
	26 : 4.3 Intro - introducing the field of research	1	0	1	0	0	0
	27 : 4.4 Intro - introducing the objective	1	0	0	0	0	0
	28: 4.5 Intro - introducing theoretical underpinning	0	0	0	1	0	0
	29 : 4.6 Intro - linking background with topic	1	0	0	0	0	0
	30 : 4.7 Intro - listing publications	0	0	0	0	1	1
	31 : 4.8 Intro - providing overview of commentary	0	0	0	1	1	1
	32 : 4.9 Intro - reflecting on experience	0	1	0	1	0	0
Literature review	33 : 5.1 Lit Rev. - discussing phenomenon	0	0	0	0	1	0
	34 : 5.2 Lit Rev. - discussing related concepts or notions	0	0	0	1	1	1
	35 : 5.3 Lit Rev. - introducing theoretical or philosophical construct	0	0	0	1	0	1
	36 : 5.4 Lit Rev. - summarising the chapter	0	0	0	1	0	0
Research questions	37 : 6 RQs - listing RQs	1	0	0	0	0	0
Research methodology	38 : 7.1 Method - discussing data analysis	0	0	0	0	0	1
	39 : 7.2 Method - discussing data collection	0	0	0	0	0	1
	40 : 7.3 Method - discussing educational philosophies	0	0	0	1	0	0
	41 : 7.4 Method - discussing ethical issues	0	0	0	1	0	0
	42 : 7.5 Method - discussing methodological approach	1	1	0	1	0	4
	43 : 7.6 Method - discussing research methods or designs	1	0	0	0	0	0
	44 : 7.7 Method - discussing research paradigms	0	1	0	1	0	0
	45 : 7.8 Method - summarising the chapter	0	0	0	1	0	0

(continued)

Table 4.14 (continued)

Chong (2021) framework	Structural moves	A: Burgos (2015)	B: Cush (2011)	C: Pandya (2016)	D: Procter (2019)	E: Simmons (2009)	F: Thompson (2011)
Description and discussion of the published work	46 : 8.1 Synthesis - absence	0	0	0	0	1	0
	47 : 8.2 Synthesis - by publication	0	1	1	1	0	0
	48 : 8.3 Synthesis - by themes	1	0	0	0	0	1
Future research directions/ reflection	49 : 9.1 Conclusion - discussing contributions (individually)	0	0	1	1	1	0
	50 : 9.2 Conclusion - discussing contributions collectively	1	1	1	1	1	1
	51 : 9.3 Conclusion - outlining future research directions	1	1	0	1	0	0
	52 : 9.4 Conclusion - providing proof of impact	0	0	0	1	0	0
	53 : 9.5 Conclusion - reflecting	0	1	0	1	0	0
	54 : 9.6 Conclusion - summarising current state of the art	1	0	0	0	0	0
	55 : 9.7 Conclusion - summarising methodology	0	0	0	1	0	0
	56 : 9.8 Conclusion - summarising themes	0	0	1	0	0	1
References	57 : 10 References	1	1	1	1	1	1
Appendices	58 : 11.1 Appendix - tabulating authorship information	1	0	0	0	0	0
	59 : 11.2 Appendix - tabulating impact information	1	0	0	0	0	0
	60 : 11.3 Appendix - tabulating publication information	1	0	1	0	0	0
	Total number of structural moves	**21 (35%)**	**14 (23%)**	**19 (31%)**	**33 (54%)**	**16 (26%)**	**21 (34%)**

a relatively low percentage of structural moves embedded in the commentaries should not be interpreted as commentaries' questionable quality because some structural moves represent various approaches and would not be enacted in tandem (see the three approaches I discuss at the end of this paragraph for an example). Regarding similarities, only four structural moves are documented in all six commentaries include: (1) title page, (2) a summary of included publications in the introduction section, (3) discussion of collective contributions of included publications in the conclusion section, and (4) references. From the six commentaries, the most notable difference is in the section "description and discussion of the published work" where candidates present an introduction to the body of works included in their theses. Related to this, three approaches can be noted in the sample: (1) an absence of a discrete section for discussing included publications, implying the conception that a commentary is a preface of the included publications; commentary, in this case, is used to set the context of the publications (Simmons, 2009); (2) a synthesis of included publications by themes (e.g., Burgos, 2015); (3) a summary of individual publications in a manner reminiscent of a bibliography (e.g., Cush, 2011).

Table 4.15 compares the number of structural moves, years the commentaries are published, lengths of the commentaries, universities, and lengths of university guidelines to examine the relationship among them. Despite not running inferential statistics, one can see that, in general, there is a positive relationship between the number of structural moves and the years of publication, meaning that more structural moves are included in commentaries which are published more recently (e.g., 16 structural moves in Simmons, 2009 and 33 structural moves in Procter, 2019). This may suggest a more refined understanding of Retrospective PhD by Publication in recent years, possibly because of the publications of related guides (e.g., Smith, 2015) and the availability of more experienced supervisors (see reflective narratives

Table 4.15 Comparison between number of structural moves, years, length of commentary, university, and length of university guidelines

	No. of structural moves	Year of publication	Length of commentary	University	Length of university guidelines
Simmons	16	2009	10,906 words	University of Huddersfield	62 words
Thompson	21	2011	13,775 words	University of Huddersfield	62 words
Cush	14	2011	17,124 words	University of Warwick	103 words
Burgos	21	2015	22,029 words	University of Westminster	36 words
Pandya	19	2016	20,096 words	University of Warwick	103 words
Procter	33	2019	25,078 words	University of Salford	112 words

of experienced PhD by Publication supervisors in Chaps. 7, 8, and 9). In a similar vein, a lengthier commentary would almost always include more structural moves (e.g., Procter, 2019, is the lengthiest commentary and contains the most moves). Another interesting comparison would be between commentaries written by candidates attending the same universities. The two commentaries by candidates at University of Huddersfield and University of Warwick display only a minor difference of five structural moves respectively. This shows that consistent institutional guidelines may exert a positive influence on standardising the structures of Retrospective PhD by Publication commentaries. Lastly, when observing the number of structural moves alongside lengths of university guidelines on commentaries, it is found that lengthier and more detailed guidelines may help explicate expectations more clearly and thus result in the inclusion of more structural moves (e.g., Procter, 2019 includes the most moves and the commentary was written based on the lengthiest guide in the sample by University of Salford, containing 112 words), although length of guidelines may not always exert a strong influence (e.g., Cush, 2011 includes the least structural moves but the guidelines by University of Warwick are not the shortest).

This study is limited because of the small number of Retrospective PhD by Publication commentaries included in this chapter which prevents the drawing of any substantial conclusion. Moreover, the lack of consistency in degree name posed certain difficulties in conducting an exhaustive search of relevant theses. Despite these limitations, the above observations may shed some new light on Retrospective PhD by Publication supervision and thesis writing. In particular, although diversity in structural approach seems to be celebrated in the UK, it is important to have more detailed and explicit instructions from universities regarding expectations of Retrospective PhD by Publication commentaries. It would be more useful to Retrospective PhD by Publication candidates if graduate schools would run workshops on this alternative PhD route for students as well as include this PhD type in supervision training. An important influence affecting quality of Retrospective PhD by Publication commentaries not examined in this study is the supervisors. In spite of being outside the scope of this study, literature has suggested supervisors' feedback is a vital source through which students gain better understanding of academic standards and requirements (Kim, 2018). It is fairly certain that the majority of the supervisors, who completed their doctorates some time ago, may not have first-hand experience completing a Retrospective PhD by Publication; this resonates with my argument that supervision of PhD by Publication (both retrospective and prospective) needs to be incorporated into universities' supervisor training programmes. Another form of support may be the development of a writing guide for Retrospective PhD by Publication students which includes explanations of university guidelines, annotated samples of commentary extracts, sharing of experiences by supervisors, examiners, and students. The discrepancies in structural moves in Retrospective PhD by Publication commentaries noted in the present study provide the impetus for further investigations on this emergent academic genre, for example, by analysing a larger sample of commentaries (e.g., across nations and across disciplines); it

may also be worthwhile to conduct longitudinal studies on Retrospective PhD by Publication supervisors' and students' experiences to unravel the usefulness and challenges of this alternative PhD route.

Takeaway for PhD by publication supervisors:
There are great variations regarding how a PhD by publication thesis can be structured. In recent years, there is an increase in the number of structural moves in PhD by publication theses in education. It is important to explicate institutional guidelines about format and requirements of thesis to students at the outset of their study, preferably with some exemplars.

Takeaway for PhD by publication candidates:
Unlike the traditional PhD thesis, there is greater flexibility in how one can structure a PhD by publication thesis. It is, therefore, difficult to solicit examples of good PhD by publication theses which suit candidates' needs because of different institutional requirements. It is advised that PhD by publication candidates read past theses published in the same discipline in their own institution and formulate, together with their supervisor, a clear structural plan or approach before attempting to address the substantive aspect of their thesis.

Acknowledgement Table 4.4 is based on my publication in *Innovations in Education and Teaching International* published by Taylor & Francis:

Chong, S. W. (2021). Demystifying commentary guidelines of PhD by published work in the UK: Insights from genre analysis. ***Innovations in Education and Teaching International***. Advanced online publication.

Since this chapter is a continuation of Chong (2021), the brief description of methodology in section "Methodology" would resemble that of (but not a direct copy of) Chong (2021).

References

Bath Spa University. (2021). *PhD by publication*. Retrieved from https://www.bathspa.ac.uk/how-to-apply/research-degrees/choosing-a-postgraduate-degree/

Burgos, D. (2015). *Digital anthropology and educational eGames: Learning through behavioural patterns in digital, game-based contexts* [unpublished doctoral dissertation]. University of Westminster.

Casanave, C. P., & Hubbard, P. (1992). The writing assignments and writing problems of doctoral students: Faculty perceptions, pedagogical issues, and needed research. *English for Specific Purposes, 11*(1), 33–49. https://doi.org/10.1016/0889-4906(92)90005-u

Charmaz, K. (2006). *Constructing grounded theory: A practical guide through qualitative analysis*. Sage.

Chong, S. W. (2020). PhD by published work and "doctorateness": My experience at a UK university. *Innovative Practice in Higher Education, 4*(1), 1–12.

Chong, S. W. (2021). Demystifying commentary guidelines of PhD by published work in the UK: Insights from genre analysis. *Innovations in Education and Teaching International*. Advanced online publication. https://doi.org/10.1080/14703297.2020.1871396

Coventry University. (2019). *PhD by publication guidance*. Retrieved from https://livecoventryac.sharepoint.com/:w:/s/all.documents/ETmBOPjnc_1Flhdmr2H23GUBd9wisvcM-VIm5-qssefkGQ?rtime=AvBzCDLL2Eg

Cush, D. (2011). Championing the underdog: *A positive pluralist approach to religious education for equality and diversity* [unpublished doctoral dissertation]. University of Warwick.

Ganann, R., Ciliska, D., & Thomas, H. (2010). Expediting systematic reviews: Methods and implications of rapid reviews. *Implementation Science, 5*, 56. https://doi.org/10.1186/1748-5908-5-56

Kanoksilapatham, B. (2015). Distinguishing textual features characterizing structural variation in research articles across three engineering sub-discipline corpora. *English for Specific Purposes, 37*, 74–86. https://doi.org/10.1016/j.esp.2014.06.008

Khangura, S., Konnyu, K., Cushman, R., Grimshaw, J., & Moher, D. (2012). Evidence summaries: the evolution of a rapid review approach. *Systematic Reviews, 1*, 10. https://doi.org/10.1186/2046-4053-1-10

Kim, K. M. (2018). Academic socialization of doctoral students through feedback networks: A qualitative understanding of the graduate feedback landscape. *Teaching in Higher Education, 23*(8), 963–980. https://doi.org/10.1080/13562517.2018.1449741

Langum, V., & Sullivan, K. P. H. (2017). Writing academic English as a doctoral student in Sweden: Narrative perspectives. *Journal of Second Language Writing, 35*(March 2017), 20–25. https://doi.org/10.1016/j.jslw.2016.12.004

Ma, L. P. F. (2019). Academic writing support through individual consultations: EAL doctoral student experiences and evaluation. *Journal of Second Language Writing, 43*(March 2019), 72–79. https://doi.org/10.1016/j.jslw.2017.11.006

Paltridge, B. (2002). Thesis and dissertation writing: An examination of published advice and actual practice. *English for Specific Purposes, 21*(2), 125–143. https://doi.org/10.1016/s0889-4906(00)00025-9

Pandya, S. P. (2016). *Faith, spirituality and social work education: Deliberating guru-led and Hindu-inspired faith movements* [unpublished doctoral dissertation]. University of Warwick.

Procter, C. (2019). *Pragmatic constructivism in higher education* [unpublished doctoral dissertation]. University of Salford.

Simmons, R. (2009). *Further education, political economy and social change* [unpublished doctoral dissertation]. University of Huddersfield.

Smith, S. (2015). *PhD by published work: A practical guide for success*. Palgrave.

Soler-Monreal, C., Carbonell-Olivares, M., & Gil-Salom, L. (2011). A contrastive study of the rhetorical organisation of English and Spanish PhD thesis introductions. *English for Specific Purposes, 30*(1), 4–17. https://doi.org/10.1016/j.esp.2010.04.005

Swales, J. (1990). *Genre analysis: English in academic and research settings*. Cambridge University Press.

Thompson, P. (1999). Exploring the contexts of writing: interviews with PhD supervisors. In P. Thompson (Ed.), *Issues in EAP writing research and instruction* (pp. 37–54). Reading: Centre for Applied Language Studies, University of Reading.

Thompson, R. (2011). *Further education and social inclusion under new labour* [unpublished doctoral dissertation]. University of Huddersfield.

Tremblay-Wragg, E., Chartier, S. M., Labonté-Lemonyne, E., Déri, C., & Gadbois, M. (2021). Writing more, better, together: How writing retreats support graduate students through their journey. *Journal of Further and Higher Education, 45*(1), 95–106. https://doi.org/10.1080/0309877X.2020.1736272

Tricco, A. C., Antony, J., Zarin, W., Strifler, L., Ghassemi, M., Ivory, J., Perrier, L., Hutton, B., Moher, D., & Straus, S. E. (2015). A scoping review of rapid review methods. *BMC Medicine, 13*, 224. https://doi.org/10.1186/s12916-015-0465-6

UniRank. (2020). *A-Z universities in the United Kingdom by alphabetical order*. Retrieved from https://www.4icu.org/gb/a-z/

Wilson, K. (2002). Quality assurance issues for a PhD by published work: A case study. *Quality Assurance in Education, 10*(2), 71–78. https://doi.org/10.1108/09684880210423555

Sin Wang Chong is a Senior Lecturer (Associate Professor) in Language Education at the Moray House School of Education and Sport, University of Edinburgh in Scotland. His research interests include language and educational assessment, technology and education, and research synthesis. He is Associate Editor of the journals Innovation in Language Learning and teaching (Taylor & Francis) and Higher Education Research & Development (Taylor & Francis).

Chapter 5
Metadiscourse in the Retrospective PhD by Publication: More or Less the Same?

Neil H. Johnson

Abstract Metadiscourse is fundamentally the interaction that takes place within a text between the author and the reader. Previous studies have established the importance of metadiscourse in both the traditional monograph PhD theses and the academic research article, regardless of academic discipline. There has been some initial research to understand the particular genre requirements of the Retrospective PhD by Publication, but little work has been done to understand the rhetorical task of writing the commentary text where the task is to synthesise and reflect on one's own work to produce new understanding and knowledge. The goal here is to compare the metadiscourse in the commentary texts that comprise a major part of the retrospective PhD by Publication to doctoral dissertations written in the more traditional way. Detailed analysis of two corpora of the different texts was done using ANTCONC software and the results were then evaluated using the chi-square test to check for significance. Finally, a functional model of metadiscourse was used to better understand the implications of the findings. Results suggest that there are significant variations in the way that metadiscourse is deployed in these two text types. The most important differences were in the overall reduced use of metadiscourse features and in particular, engagement markers and endophoric reference were significantly less prevalent. Self-mentions, however, were a much stronger feature of the Retrospective PhD by Publication commentaries. The functional analysis of the findings allows us to draw some initial conclusions about the meaning of these differences.

Introduction

The globalisation of higher education has arguably contributed to a greater diversity in the systems of knowledge production and as Lee (2011) has argued, only heightened innovation and creativity. The "massification" (e.g., Giannakis & Bullivant,

N. H. Johnson (✉)
Wearside View, St Peter's Campus, University of Sunderland, Sunderland, UK
e-mail: neil.johnson@sunderland.ac.uk

© The Author(s), under exclusive license to Springer Nature Switzerland AG 2022
S. W. Chong, N. H. Johnson (eds.), *Landscapes and Narratives of PhD by Publication*, https://doi.org/10.1007/978-3-031-04895-1_5

2016) of advanced learning means that doctoral programs have seen a rise in enrolments as, for example, people who have been working for many years in educational contexts are now, increasingly, required, or encouraged, to have a terminal degree. The Retrospective PhD by Publication is a qualification where candidates have created a dossier of peer-reviewed publications and are required to write a reflective piece, or a commentary, of usually between 10,000 and 15,000 words, and where the rhetorical goal is to capture “the originality, coherence, connectivity and their contribution to knowledge in their subject area” (Smith, 2014). The self-reflexive nature of this task necessarily requires a particular identity and stance for authors, in relation to their readers, their academic community, and the data that becomes central in the retrospective research narrative (Asongu & Nwachukwu, 2018). To document and better understand how this stance is being constructed discoursally, I focus here on the use of metadiscourse in a comparative analysis of two corpora. I compare corpus data from more traditional monograph doctoral dissertations with data from Retrospective PhD by Publication commentaries. This comparative analysis provides insight into the rhetorical task of using written work that the author has already published as the basis for a doctoral thesis. Metadiscourse can be defined as “the linguistic resources used to organize a discourse or the writer’s stance towards its contents or reader” (Hyland, 2017, p.109), and is a key element in the social and communicative engagement between writer and reader (Hyland & Tse, 2004). As such, metadiscourse is a crucial resource for writers to establish their stance and credibility within their own academic fields. The metadiscourse of a text reflects and constitutes the social and cultural context within which these texts are created; this means that a functional analysis of how authors from within a genre are relating to their audience can be of particular significance in understanding rhetorical variance and change. As Kuhi and Behnam (2011) suggest, “textual realizations of interpersonality in academic writing—metadiscourse—are intimately linked to the social and cultural forces that play constitutive roles in the structure of academy” (p. 130). Metadiscourse represents a key textual feature to gauge shifts and differences in the ways in which writers are relating to themselves and peers within the academy, and therefore to the process of knowledge generation itself. If we consider Lemke’s (2000) view of discourse as an open, dynamic system, what are the ways in which these conventions are therefore now being developed within the Retrospective PhD by Publication? My goal in trying to answer this question, is broadly in keeping with that of Dewey and Jenkins (2010), to “describe how the language is manipulated in innovative ways to suit the communicative needs of speakers who interact in complex multilingual communities of practice” (p. 89). In this instance, my concern is with how the written word is used innovatively to reflect the emergent communicative needs of authors, completing a doctoral study, who are in a sense already well-established members of the academy. The more traditional monograph PhD dissertation text can be seen as a moment of arrival for the new academic (Benmore, 2016). It has been described as the text, for example, where graduate students learn to appropriate discourse conventions in disciplinary communities (Berkenkotter & Huckin, 1993). In the case of Retrospective PhD by Publication, of course, the author is by definition an established member of their

chosen field who is familiar with the discourse conventions required, and it is this tension between the writer, the audience, and the wider academy, that I wish to explore here.

For academics involved in the supervision of Retrospective PhD by Publication candidates, this analysis may potentially inform future guidance practices, as well as offer insight for doctoral students engaging with this rhetorical task. Much of the literature that surrounds the writing of the doctoral dissertation can be characterized as "the advice genre" (Kamler & Thomson, 2008) where students are advised to follow a prescribed set of guidelines on organisation, tone, and structure. As Kamler and Thomson (2008) argue, however, writing a doctoral dissertation is perhaps better defined in terms of "text work/identity work" (p. 508). By this we mean that texts and identities are formed together, in, and through writing. Unpacking aspects of this textual identity work, may inform the pedagogy surrounding doctoral supervision, and suggest a process of collaborative engagement, including assessment of the full range of rhetorical features that are possible (see also Chong, 2021).

Metadiscourse and Academic Research

Metadiscourse has been established as a major element in the understanding of academic rhetoric (Hyland, 2005). Early attempts to capture the dynamic interplay between the author and the reader have focused on different linguistic instantiations of this relationship in what has been termed a "narrow" perspective on metadiscourse (e.g., Mauranen, 1993a, b; Valero-Garces, 1996) where research has focused primarily on textual cohesion and the way in which an author signals relationship between different parts of the text.

Hyland and Tse (2004) and Hyland (2005) have been instrumental in developing a more complete and unified model of metadiscourse (see Table 5.1) in which they argue that all metadiscourse is essentially interpersonal. This distinction means that the earlier focus on propositional and interpersonal meanings in a text is not helpful, since the interpersonal aspects of a text are in fact a crucial part of how the propositional meaning is created. A distinction is made therefore, been interactive and interactional elements as depicted in Table 5.1 below.

Briefly, interactive elements allow the writer to manage information flow and to explicitly establish preferred interpretations, by guiding the reader through the text and highlighting or downplaying aspects of the meaning as it unfolds. These linguistic items organize discourse to anticipate the readers' knowledge and reflect the writer's assessment of what aspects of the text need to be made explicit to guide the reader towards understanding. Interactional resources, however, focus on participants of the interaction and work to show a writer's persona and a tenor consistent with disciplinary expectations. Metadiscourse here concerns the writer's efforts to control the level of personality in a text and establish a suitable relationship to the data, arguments, and audience, marking the degree of intimacy, the expression of

Table 5.1 Hyland's (2005) model of metadiscourse functions

Function Category	Description	Textual example
Interactive		
Transition markers	Mainly conjunctions and adverbial phrases that help readers interpret connections between steps in an argument	However, thus, in addition, but, and
Frame markers	Signal text boundaries or elements of text structure	In chapter X, in the following section, in this part
Endophorics	Expressions that refer to other parts of the text	As noted below, as suggested earlier, see table X
Evidentials	Words that make it clear who is supporting a particular idea or position	As noted in, according to, x states, y argued
Code glosses:	Gives extra information by rephrasing what has been said	Namely, this is called, this can be defined as
Interactional		
Hedges	Words that show the writer acknowledging another position or viewpoint	Possible, may, could, might
Boosters	Words that show the writer closing down alternatives or conflicts	Actually, always, certainly
Attitude markers	Text that allows the writer to give some sense of how they feel about the argument, etc.	Admittedly, curiously, essentially
Self mentions	Explicit reference to the writer or writers	I, we, our, mine
Engagement markers	Explicit address to the reader	Take a look, think about, imagine

attitude, the communication of commitments, and the extent of reader involvement (Hyland, 2005, p. 138).

Metadiscourse and Post-graduate Writing

Comparative, corpus-based research using this more complete view of metadiscourse (e.g., Hyland & Tse, 2004) suggests an interesting feature of postgraduate dissertations, in relation to other academic texts. Through comparative analysis, it has shown that when compared to Master's (MA) Theses, the doctoral texts contained 10% more interactive forms. They also were able to show that hedges dominated interactional categories in both text types (40% in the PhDs and 44% in the master's theses) and transition markers the interactive group (36% and 41% respectively). In their corpus, evidentials and code glosses were the next most frequent interactive devices and engagement markers representing a fifth of both masters and doctoral interactional devices. The doctoral texts in general contained much more metadiscourse, with 73% of all cases in the study and 35% more when normed for text length. Hyland and Tse (2004, p. 172) argue that the variations in metadiscourse frequencies are partly due to the fact that the PhD dissertation text is twice as long

as the typical MA dissertation, making it necessary for writers to employ more interactive devices to structure more discursively elaborated arguments. However, the higher frequencies in the doctoral texts also indicate a deeper engagement with the reader and go some way towards the writers presenting themselves as insiders within their disciplinary fields.

Evidence for this claim can be seen with the much higher use of evidentials, with over four times the number of intertextual references. Citation is a key resource for demonstrating membership of an academic community where one's own ideas are contextualized and presented alongside those of the established community of writers and academics. For the writers of the MA thesis, there is likely to be less time available for the research, and the concern may be more with completing the degree and continuing on to employment with that degree. As a result, there is less need to demonstrate a full membership with the target academic community. It was also found in the study that doctoral students used more interactional metadiscourse markers, with a particularly higher use of engagement markers and self-mentions. Self-mention is an important rhetorical device for the promotion of self as a competent and scholarly member of the field. In many academic writing guides, the use of the first-person pronoun is generally not advised (e.g., Strunk, 2007), bringing, it is assumed, an informal and conversational element to writing. In practice, however, it plays a crucial interactional role in mediating the relationship between the writers' ideas and the target discourse community. The use of personal pronouns gives writers a voice and allows them to project their own stance in regard to the knowledge creation processes and their own contribution to that process. As Hyland and Tse (2004) confirm, "Engagement features, particularly imperatives and obligation modals which direct the reader to some thought or action, are important in bringing readers into their text as participants in an unfolding dialogue" (p. 173).

Other research into metadiscourse in doctoral dissertations has focused on using the Hyland (2005) model to investigate both cross cultural uses of metadiscourse and cross disciplinary use of this resource. For example, Can and Yuvayapan (2018) compared the use of metadiscourse in doctoral dissertations between native-speaking English writers and Turkish writers in English. They found that Turkish writers tended to underuse metadiscourse, with a particularly telling difference in the use of self-mentions in their respective texts. This suggests a difficulty with the effective construction of a discoursal self in English for these writers (see also Lee & Casal, 2014).

Though the Hyland (2005) model provides over 400 lexical and discourse items with which to compare different text corpora, Kuhi and Behnam (2011) argue that simply counting the lexical items across disciplines, in applying this model, is simply not enough to understand the significance of how and why metadiscourse is being deployed. They add a significant dimension to our analysis and understanding of metadiscourse, by presenting these textual features within their full social context and offer an insightful functional model with which to make sense of quantitative research findings. As they rightly suggest:

> In this struggle, the ultimate product—text—carries with itself implicit and explicit traces of writers' desires for promotion, identity, and power, readers' desires for an elevated position and easier processing of the content, and publishers and academic institutions' desire for promotion of symbolic and economic capital. (p. 131)

Their analysis of texts across the discipline of applied linguistics provides a sense for how institutional and social differences underlie metadiscourse use. This functional model, as detailed below, provides a useful tool for understanding the social contexts of metadiscourse use, and as such, is crucial to my purposes in this chapter.

Contextual Framework for Understanding Metadiscourse

In this section, I describe Kuhi and Behnam's (2011) model in detail and illustrate their notions of a functional explanation of metadiscourse with examples from their corpus.

Accreditation of Academic Knowledge

According to Kuhi and Behnam (2011), metadiscourse plays an important role in the accreditation process of knowledge in the academy, starting with the research article (RA), or published journal article, in the manner in which it is used to affirm and support different claims. This is achieved, in terms of Hyland's (2005) model, through intertextual features such as evidentials and hedging strategies where the possible damage through having claims disputed or proved incorrect, is limited. Hence, personal commitment to, and responsibility for, knowledge claims is downplayed in the RA in a way that it isn't done by the time the knowledge reaches a much firmer acceptance, in a textbook of the field. This metadiscourse usage is an important aspect of research gaining a foothold, and then becoming accepted into the canon of knowledge within a given field.

Readers' Processing Abilities

All research is written to be understood, accepted, and ultimately cited, as part of the established knowledge within a field, by the academic community. This process obviously starts with the review editors at the journal in question. Writers therefore need to maintain an awareness of their text in order to anticipate reader expectations and comprehension needs as the work unfolds. This is achieved by using interactive metadiscourse elements that aid comprehension such as code glosses, frame markers, logical connectors, and endophoric markers.

Power Relations in Academic Life

Writers of RAs have to maintain an important balance of power relations within an academic community, in order that their work will be acceptable to that group. Hedging strategies typically allow for deference to the wider community and evidentials provide what Kuhi and Behnam (2011) refer to as the "the projection of an insider ethos," which involves addressing readers as if they were knowledgeable in the general area, familiar with the discipline's forms of argument and ways of "establishing truth and possessing similar authority and influence." (p.120). This balance between deference to the broader research community and the projection of an insider identity to project credibility rises from judicious use of the available interactive elements of a text.

Readers' Attitudinal Vulnerability

This aspect of metadiscourse refers to conscious and deliberate attempts to manipulate the attitudes of the reader into a shared point of view. Appeals to shared knowledge and attitude markers as the evaluative elements of metadiscourse are indications of strategic investment of academic writers on the emotions and attitudes in persuading their readers. Kuhi and Behnam (2011) found high incidence of this strategy within textbooks, where the reader may not have a high level of specialized knowledge, and so this relative vulnerability is emphasized by these strategies.

Different Senses of Otherness

"Intertextuality" (e.g. Bakhtin, 2010) is an inherent quality of academic discourse and differs in important ways from one academic genre to another. In Kuhi and Behnam's (2011) study, more prestigious academic genres such as the RA, had a higher ratio of explicit manifestation of evidentials and citations that place the writer's claims into the context of previous research, to help persuade the elite audience that what is claimed should not be seen as being produced by an isolated writer, that the one who is writing is additionally a member of a discourse community. In this sense, the claims of the writer are seen as a logical response to an already established discourse and are therefore themselves open to subsequent responses.

Establishment of Writers' Identity

Following Ivanič (1998), Kuhi and Behnam cite the following four areas for identity work within the discourse:

- Autobiographical self: the particular identity brought by the writing based on their life histories
- Discoursal self: what writers convey about themselves or the impression that is made through one's writing
- Self as author: how a writer establishes authority in writing
- Possibilities for selfhood: those identities that are available within the sociocultural context of the writing (p. 124)

The uses of stance markers were equally present in the four corpora in Kuhi and Behnam's (2011) study. Their function was to reflect the writer's voice and protect their academic face and serve notice of attempts on the writer's part to develop their discoursal self and self as author. It is suggested that in more prestigious texts, such as the RA, the authorial presence tends to be less explicit, which confirms the care that is required to negotiate the appropriate textual stance with particular kinds of reader.

Marketing Needs

In all academic disciplines, getting research funding, consultancy contracts, and students is an increasingly important and competitive aspect of the job. According to Kuhi and Behnam (2011) the competitive nature of this process "brings marketing norms closer to university discourses" (p. 127). This is most clearly evident in texts for commercial consumption, such as textbooks, but can also be seen in other genres with the use of stance markers as they position an author in regard to a body of knowledge and/or academic field.

Creation of Symbolic Capital

Whitley (2000, p. 25) suggests that much of modern academic writing is less about the creation of new knowledge and more about ". . . convincing fellow researchers of the importance and significance of the results and enhancing [their] own reputations." The relatively higher status of boosters in prestigious academic genres found in Kuhi and Behnam's (2011) corpus was indicative of a desire to establish a strong "self-image" among the discourse community of applied linguistics, for example.

While previous studies have contributed to the growing understanding of how metadiscourse use might vary according to genre (e.g., Hyland & Tse, 2004), there has been a tendency to look at the variations across genres that offer a contrast in terms of the communicative purposes they serve. This assumes that the genre classification for each discipline is uniform and stable and hides potential variation within academic subjects and individual genres such as the target text here, the postgraduate dissertation by existing works. The main objective of the present study,

therefore, was to investigate how metadiscourse use varies according to the data used for the research and the changes to the authorial relation to that data, and then apply the contextual framework developed by Kuhi and Behnam (2011) to better understand factors that may be responsible for the possible variations. As Hyland (2005) suggests: "research is urgently needed to document changing thought styles, patterns of argument and ideological practices" (p. 202). Skulstad (2005) also has suggested that metadiscourse variation may be a feature of an emerging genre, where a greater need for guidance for the reader was seen as related to that newness of text form.

The following research questions therefore informed this preliminary study as I compare a multidisciplinary corpus of commentaries from Retrospective PhD by Publication works, with a general corpus of doctoral dissertations from within the same subjects:

1. Are there distinguishing differences in interactional metadiscourse use in these different types of dissertation texts?
2. If differences do exist, what functional reasons might explain them?
3. Are there any pedagogical or advisory implications from this analysis?

Methods

For this research, I created a mini corpus (Corpus A) of the commentaries that comprise a major part of the Retrospective PhD by Publication and, for comparison purposes, a second mini corpus (Corpus B) featuring more traditional monograph dissertation texts. The criteria for selection for both corpora were that texts should be written after the year 2000, and also needed to represent the same range of academic disciplines from across the academy, to allow for comparison. Two texts were chosen from each of the following disciplines for both corpora: Education, Performing Arts, Medicine/Health, Business Studies, and Engineering. These disciplines were chosen to provide a cross section of disciplines for comparison purposes, in line with previous studies where metadiscourse has been analysed across genre and text type (e.g. Hyland & Tse, 2004) The files were accessed through the EBSCO Open Dissertations Project, meaning they were free to access and download. The selected files were then matched, numbered and named (e.g. Education, 1 and Education Mono (graph), 1) for comparison and reference purposes within the study. The files were downloaded and converted into simple text files. At this stage, the files were cleaned of any extraneous information, such as the administrative details of the work, the final list of works cited, and other adornments to the central text that are not related to the actual written commentary or dissertation, such as tables of contents. The published texts that are discussed in the commentary pieces were also excluded. The two corpora then consisted of 180,158 words (Corpus A) and 666,720 words (Corpus B) respectively. The relatively small number of dissertations completed across a range of different disciplines by the Retrospective PhD

by Publication route meant that this convenience sampling (Phillips & Egbert, 2017) was necessary and justified. There were only two texts found in the Engineering discipline, for example.

Corpus A and B were then both analysed using the AntConc (see Anthony, 2006) textual analysis software. The findings of this work are presented in Table 5.2. Once the raw data had been collected using Hyland's (2005) model, significant work had to be done to ensure accuracy of the count, so that only lexical items that were functioning in the assigned manner within the texts were included. In this regard, for example, I observed the suggested distinction (Hyland & Tse, 2004; Kuhi & Behnam, 2011) between reference to inside and outside of the text. A couple of examples highlight the necessity for individual attention to each of the items:

Example 1: That is, as shown in Fig. 5(a), denoted by white blocks, if a textural block is *next to* a structural one, along either horizontal or vertical direction, it is considered as necessary.
Example 2: We *next* briefly discuss representation of numbers in a finite field.

In the first example, the lexical item *next* clearly functions to describe a feature of the blocks under consideration that is outside of the research document, and as such is not an example of metadiscourse and would be discounted. In the second example, by contrast, the reference from the use of *next* is internal, referring to a different part of the text itself. This second example would therefore count as an example of a frame marker. The words identified by the ANTCONC analysis software were therefore manually checked by the author before assignment to metadiscourse subcategories. In cases where the counts produced thousands of instances of high frequency devices, such as some modals and conjunctions, following Hyland and Tse (2004) and Hyland (2005), a hundred sentences containing each individual lexical item were randomly generated from the corpus. A final figure was calculated as a proportion of the sample size multiplied by the total number of words.

Table 5.2 Comparative metadiscourse analysis using Hyland and Tse's (2004) model

Dimension	Category	Retrospective (Corpus A)	Monograph (Corpus B)
Interactive	Transitional markers	65.2	102.5
	Frame markers	21.0	34.6
	Endophoric	14.0*	24.8
	Evidentials	56.8	78.2
	Code gloss	34.2*	42.4
	(Total)	191.2	282.5
Interactional	Hedges	88.2*	103.9
	Boosters	43.7*	51.2
	Attitude markers	17.1*	21.1
	Self-mentions	129.8*	73.4
	Engagement markers	39.8*	54.8
	(Total)	318.6	304.4

*Numbers revealing a significant difference

Results

Two separate chi-square tests of independence were conducted, one on each dimension of the model. For the interactive dimension, the results were χ^2 (4, N = 22,279) = 34.8, $p < .001$. For the interactive dimension, they were χ^2 (4, N = 26,035) = 626.5, $p < .001$. Thus, even after a Bonferroni adjustment to control for the two separate tests, the differences between the texts in the two corpora are clearly significant on both dimensions.

To determine the exact sources of these differences, chi-square tests of goodness of fit were used to make pairwise comparisons across corpora in each category within each dimension. The Bonferroni-adjusted results for the interactive dimension showed statistically significant differences only among endophoric references (χ^2 (1) = 7.22, p = .04) and code glosses (χ^2 (1) = 15.61, $p < .001$), the former being less prevalent among the texts of the Retrospective PhD by Publication corpus and the latter being more.

Similarly adjusted results for the interactional dimension showed statistically significant differences in every category, instances of which were proportionally less frequent in the texts of the Retrospective PhD by Publication corpus in every case except self-mentions, where the opposite was true: hedges (χ^2 (1) = 56.89, p = .04), boosters (χ^2 (1) = 26.71, $p < .001$), attitude markers (χ^2 (1) = 16.63, $p < .001$), engagement (χ^2 (1) = 80.93, $p < .001$), self-mentions (χ^2 (1) = 445.33, $p < .001$). These calculations were then applied to the adjusted findings, expressed per 10,000 words (following e.g. Hyland & Tse, 2004; Hyland, 2005), from the corpus analysis presented in Table 5.2. The numbers revealing a significant difference following the chi-square analysis are highlighted with an asterisk.

In summary, there are numerical differences across each section of the model, for both interactive and interactional categories. These differences are most striking for the categories of endophoric reference (interactional), and self-mentions, and engagement markers (interactive). In all but one of the categories, self-mentions, the writers of the Retrospective PhD by Publication are using either less, or significantly less, metadiscourse than the writers of the more traditional monograph thesis. In the next section, I will analyse the most significant differences further, and try to account for them in terms of the rhetorical task of writing a Retrospective PhD by Publication.

Functional Analysis of the Findings

Self-Mentions

The most obvious and significant difference in the two corpora was in the use of self-mentions. This relatively high use of authorial self-mention in the Retrospective PhD by Publication commentaries is also perhaps, given the nature of these texts,

the most predictable and expected outcome from the research finding here. In the present study, we find that the Corpus A authors are using a significant amount (129.8 vs 73.4 per 10,000 words) of self-mention when compared to the writers from the monograph corpus, with the use of the first person singular I, particularly evident (58.7 per 10,000 words) Self-mentions, along with code glosses, attitude markers, hedges and boosters, are implicated in the creation of a textual voice or authorial personality (Kuhi & Behnam, 2011). In the applied linguistics corpus utilized in the Kuhi and Behnam (2011), self-mentions were seen as functioning to close down alternative viewpoints, anticipate and ameliorate possible consequences or questions about the findings or for being proved wrong, indicate authors' affective and emotional attitude, and generally projected the authors into the text and highlighted how they felt about and stood in relation to their ideas and work. Analysis in Corpus A here, finds similar functions:

(a) Close down alternative readings:
I do not see both approaches to research as on a spectrum. I see them as different. (Education 1)
(b) Anticipate consequences or questions:
But where are play and learning situated, and where do I situate myself within them? (Education 2)
(c) Express ownership of the paper's organization and work:
This was the contribution I set out to make, firstly across my own programme and school… (Business 2)
(d) Project authorial voice into the text:
I*nstead, I sought to explore relational and action-based researchers to location…* (Performing Arts 1)

What we also see in Corpus A is a good deal of self-reflection, and therefore self-mention, from the authors on the very process of writing and synthesizing their own work. The following examples demonstrate this notion:

Works 1–4 had a degree of triangulation where two types of data were collected which complemented each other, thereby reinforcing my conclusions. (Health/Medicine 1)
I wanted to build on these, using them as the basis for developing new knowledge and understanding. (Business 2)
Here, I was hoping to collect descriptive data about student engagement with feedback… (Education, 1)

A further feature is the strong sense of personal narrative, of the process of becoming an academic and PhD holder that is present within each of the featured texts:

In 1983, I transferred back to the Mechanical School from Civil Engineering. I then started to teach Dynamics and Control… (Engineering, 1)

For my part, I had obtained an MSC (Econ) by research in management and industrial relations…where I received training in research methodology and statistics. (Business, 1)

So I wanted to explore whether taking a different view of entrepreneurship would engage more staff… (Business, 2)

Looking again through the sample texts in Corpus A, this self-reference and self-reflection is perhaps the most striking aspect of the discourse and reflects the central rhetorical task, that of synthesizing and contextualising one's own work, that defines the Retrospective PhD by Publication.

Endophoric Reference

A significant difference in metadiscourse use was also seen in the relatively sparing use of endophoric reference in Corpus A (14.0 vs 24.8 per 10,000 words). The function of this discoursal dimension in formal academic text is to refer to other parts of the text, and by doing so manage the comprehension of the reader. The differences in the amount of such reference are readily explained by the relative size of the texts that comprise both corpora. Simply put, the monographs are much longer texts than the commentaries (with a mean size of approx. 66,000 vs 18,000) and the writer is therefore required to do much more work to keep the reader both interested and following the narrative thread that runs throughout the text. If you have a relatively short text, then this task is less important. The following textual examples from corpus B highlight this:

As mentioned earlier, much of the process position is reliant on whether opportunities are discovered or created. (Business, Mono, 2)

This is described below along with specific developments throughout the decade in the related areas of WHO activities… (Medicine/Health, Mono, 2)

As explained above, Arnheim talks about emergence and perceptual forces in the perception of pictorial objects… (Performing Arts, Mono, 1)

Engagement Markers

The third functional category of metadiscourse that shows the strongest difference, with less usage in Corpus A, is that of engagement markers. This is perhaps the most difficult difference to explain. Engagement markers (reader pronouns, directives, questions, appeals to shared knowledge, and personal asides) are how writers relate to their readers with respect to rhetorical positions advanced in the text. Readers are guided towards certain interpretations and conclusions and otherwise have their

attention focused by the writer. The writers of the Retrospective PhD by Publication commentaries are using significantly less of this as a rhetorical strategy. Interestingly, in the Kuhi and Behnam (2011) study, the text type with the least use of engagement markers was the RA, when compared to such texts as the introductory textbook. This was accounted for by the suggestion that the reader of the RA is unlikely to be a novice reader and is one who shares many of the underlying assumptions that comprise the knowledge and understanding of the field. The RA serves as a place where new ideas are put forward and are often still contested or require further research to qualify and clarify the claims that are being made. In the case of the Prospective PhD commentaries, there is a sense that the reduced use of engagement markers highlights the insider status of the authors, writing from within their own field. There is less requirement to guide the conclusions of the reader since the work described has already been published and to some degree ratified by the academy. A monograph dissertation, however, is a text where new data and findings are been placed within a niche of current understanding and knowledge. The author of this kind of text is arguing for the relevance and position of their own work, marking an entry into their field.

In general, then, the results in Table 5.2 suggest that Retrospective PhD commentary texts use less of the metadiscourse that is used to galvanize support, express collegiality, resolve difficulties, and avoid disputation. This work is usually done through hedging, boosting and deployment of attitude markers. Such discourse, according to Kuhi and Behnam's (2011) model, "reflect a writer's desire to anticipate the possible negative consequences of being proved wrong by limiting commitment to claims and enable writers to refer to speculative possibilities while alluding to personal doubt, thereby avoiding personal responsibility for statement and limiting the damage that may result from categorical commitments" (p. 118). In this case, I believe that the relatively spare use of these discourse devices in the Prospective PhD by Publication reflect the confidence and authority of writers who have already established themselves as writers and members of their field. In analysing and making sense of one's own work, there can be no greater authority than one's self. There is therefore less need to hedge analysis and inject attitude towards the propositional meaning that is being conveyed in the commentary. The writers appear to feel less compelled to "project insider status" (Kuhi & Behnam, 2011), as mentioned above, and appear instead to be writing *as* insiders.

Hybrid Discourse in Post-graduate Writing

Variation across the genre in the ways in which authors interact with their readership within the text is suggestive of an emerging genre (Skulstad, 2005). As Kuhi and Behnam (2011) have reminded us, "Writer–reader interaction is a social practice in which communicative goals, interests, benefits, advantages, and desires of all stakeholders of academic communication play influential roles" (p. 130). The

specific findings in the analysis shows that in three ways, use of self-mentions, endophoric reference, and engagement markers, there is a significant difference between how post-graduate writers are engaging with their readers when describing already published works. In answer to the third research question, related to a pedagogical perspective, then, I suggest that it may be worth highlighting these aspects of metadiscourse and investigating with writers who are starting out on the Prospective PhD by Publication process, the ways in which these different textual features function. Analysis of the functional usage of metadiscourse can help show us how language choices reflect the different purposes of writers, the different assumptions they make about their audiences, and the different kinds of interactions they create with their readers. As Hyland (2005) points out, understanding metadiscourse, allows writers to successfully, "engage in a community appropriate dialogue with readers" (p.175). A writer confronted with the task of analysing their own work may feel intimidated or hesitant about developing a strong and clear authorial voice, through the use of self-mentions, given that the use of personal pronouns, for example, is often an area where conflicting views are offered in English for Academic Purposes pedagogy and the advice for academic writing genre (Sword, 2012). Understanding that this is an established practice in attempting this rhetorical task may be beneficial and reassuring in that regard.

Conclusion

Metadiscourse illustrates how authorial choices reflect the different purposes of writers, differing expectations they make about their audiences, and different kinds of author-reader interactions. The metadiscourse practices we find in the writing of post-graduate authors here can be seen as developments in academic culture and evidence of variation in publishing that show, perhaps, a loosening of norms and increasing openness to a plurality of discourses. Considering the rhetorical question posed by the title of this chapter, there is strong evidence that writers of the Prospective PhD by Publication commentaries are using metadiscourse differently to position themselves in regard to their reader and their field. The interactional dimension of metadiscourse was used significantly less in each of the categories, apart from self-mentions where the biggest difference overall was recorded in an increase of comparative usage. The current study helps further reveal "the interactions which underlie all communication and help us see how discourses are community–specific, historically situated cultural products" (Hyland, 2005, p. 203). Caution must be exercised when considering these findings, of course, since both corpora were based on a relatively small sample size. Further investigation for each aspect of metadiscourse using a much larger collection of texts will be necessary to tease out the intricacies of how authors manage and construct their own identities as writers, and members of an academic community, while engaged with this task. As the Retrospective PhD by Publication route continues to grow in different contexts,

it will be important to track development of how this *community-specific product* continues to develop, and what further variance may yet emerge.

Takeaway for PhD by Publication supervisors:
In addition to difference in structure (see Chap. 4), PhD by Publication thesis is an emergent, distinctive academic writing sub-genre partly because of the distinctive use of metadiscourse, which refers to the way writers interact with their readers using language. It may be worthwhile to highlight the need for a strong authorial presence to candidates who otherwise may feel uncomfortable with inserting themselves into an academic text, through personal pronoun use, for example.

Takeaway for PhD by Publication candidates:
The academic language used in writing a PhD by Publication thesis can be quite different from that in a traditional PhD thesis. Thus, some of the academic language you acquired from your writing experiences and learned from English for Academic Purposes courses may not apply. It is important to read up on PhD by Publication theses, preferably in the same discipline, to get familiar with how writer identity is constructed through language. Developing a strong and clear ownership of your own work is an important part of making sense of that work in the PhD by Publication synthesis.

Acknowledgement The author would like thank Dr Paul Lyddon of the University of Shizuoka, Japan for his assistance with the chi-square analysis and helpful comments on an earlier draft of this chapter.

Corpus A: Retrospective PhD by Publication

Education

1. Moseley, A. (2018). *Learning at the Edge of the Magic Circle: A Case for Playful Learning*.
2. Peacock, S. (2015). A constructive, conceptual analytical review of the Community of Inquiry Framework.

Performing Arts

1. Ames, M. (2017). *Alternative Aesthetic Encounters: Creating Dance-theatre Performance with Artists with Learning or Intellectual Disabilities: Seven Published Works*.
2. Brookes, M. J. (2015). *On a clear day you can see for ever: mediation as form and dramaturgy in located performance*.

Medicine/Health

1. Choudhury, B. (2017). *The Anatomical Student Experience*.
2. Pritchard, S. E. (2015). *Establishing volumetric biomarkers in MRI of the digestive tract*.

Engineering

1. Steer, J. M. (2016). *Research into material recovery techniques and the utilisation of solid fuels in an industrial context*.
2. White, A. S. (2000). *Mechatronics of systems with undetermined configurations*.

Business Studies

1. Jenkins, G. (2000). *The rise of human resource management: responsibility and reward*.
2. Ure, J. P. (2013). *Aligning people, processes and technology: recurring issues in the design and implementation of eLearning, eHealth and eBusiness infrastructure*.

Corpus B: PhD by Monograph (Mono)

Education

1. Graham, K. (2020). Career and technical education teachers' beliefs about developing students' motivation to write.
2. Johnson, W. G. (2020). Education research using data mining and machine learning with Computer Science undergraduates.

Performing Arts

1. Álvarez, L. P. (2019). *Experiencing Emotional Import in Twenty-first Century Euro-American Contemporary Theatre Dance*.
2. Clair, K. (2012). *The Art of Resistance: Trauma, Gender, and Traditional Performance in Acehnese Communities, 1976–2011*.

Medicine Health

1. Foran, B. J. (2007). Medical pluralism and global health policy: the integration of traditional medicine in health care systems.
2. Kumar, A. (2007). The use of complementary and alternative medicine (CAM) as lived by individuals living with chronic illnesses.

Engineering

1. Rematska, G. (2018). *A Stochastic Petri Net Reverse Engineering Methodology for Deep Understanding of Technical Documents*.
2. Thomas, J. (2018). Analysis of particle and cluster characterization methods used in aerosol science.

Business Studies

1. Heywood, D. C. (2012). *An in-depth study of entrepreneurs and PhD students' practical processes and self-identities: Are they really two different species?*
2. Larson, B. (2016). *From Personal Trust to Professional Behavior: A Study of the Impact of Trust and Enjoyment on Behavior Intentions in Business Analytics*.

References

Anthony, L. (2006). Concordancing with AntConc: An introduction to tools and techniques in corpus linguistics. *JACET Newsletter, 155*, 2085.

Asongu, S. A., & Nwachukwu, J. C. (2018). PhD by publication as an argument for innovation and technology transfer: With emphasis on Africa. *Higher Education Quarterly, 72*(1), 15–28.

Bakhtin, M. M. (2010). *The dialogic imagination: Four essays* (Vol. 1). University of Texas Press.

Benmore, A. (2016). Boundary management in doctoral supervision: How supervisors negotiate roles and role transitions throughout the supervisory journey. *Studies in Higher Education, 41*(7), 1251–1264.

Berkenkotter, C., & Huckin, T. N. (1993). Rethinking genre from a sociocognitive perspective. *Written Communication, 10*(4), 475–509.

Can, C., & Yuvayapan, F. (2018). Stance-taking through metadiscourse in doctoral dissertations. *Online Submission, 6*(1), 128–142.

Chong, S. W. (2021). Demystifying commentary guidelines of PhD by published work in the UK: Insights from genre analysis. *Innovations in Education and Teaching International*, 1–10. https://doi.org/10.1080/14703297.2020.1871396

Dewey, M., & Jenkins, J. (2010). English as a lingua franca in the global context: Interconnectedness, variation and change. In *Contending with globalization in world Englishes* (pp. 72–92). Multilingual Matters.

Giannakis, M., & Bullivant, N. (2016). The massification of higher education in the UK: Aspects of service quality. *Journal of Further and Higher Education, 40*(5), 630–648.

Hyland, K. (2005). *Metadiscourse: Exploring interaction in writing*. Bloomsbury Publishing.

Hyland, K. (2017). Metadiscourse: What is it and where is it going? *Journal of Pragmatics, 113*, 16–29.

Hyland, K., & Tse, P. (2004). Metadiscourse in academic writing: A reappraisal. *Applied Linguistics, 25*(2), 156–177.

Ivanič, R. (1998). *Writing and identity: The discoursal construction of identity in academic writing*. John Benjamins.

Kamler, B., & Thomson, P. (2008). The failure of dissertation advice books: Toward alternative pedagogies for doctoral writing. *Educational Researcher, 37*(8), 507–514.

Kuhi, D., & Behnam, B. (2011). Generic variations and metadiscourse use in the writing of applied linguists: A comparative study and preliminary framework. *Written Communication, 28*(1), 97–141.

Lee, J. Y. (2011). *Incremental innovation and radical innovation: the impacts of human, structural, social, and relational capital elements*. Michigan State University. Operations and Sourcing Management.

Lee, J. J., & Casal, J. E. (2014). Metadiscourse in results and discussion chapters: A cross-linguistic analysis of English and Spanish thesis writers in engineering. *System, 46*, 39–54.

Lemke, J. L. (2000). Across the scales of time: Artifacts, activities, and meanings in ecosocial systems. *Mind, Culture, and Activity, 7*(4), 273–290.

Mauranen, A. (1993a). Contrastive ESP rhetoric: Metatext in Finnish-English economics texts. *English for Specific Purposes, 12*, 3–22.
Mauranen, A. (1993b). *Cultural differences in academic rhetoric: A text-linguistic study*. M. Peter Lang.
Phillips, J. C., & Egbert, J. (2017). Advancing law and corpus linguistics: Importing principles and practices from survey and content-analysis methodologies to improve corpus design and analysis. *BYU Law Review, 2017*, 1589.
Skulstad, A. S. (2005). The use of metadiscourse in introductory sections of a new genre. *International Journal of Applied Linguistics, 15*(1), 71–86.
Smith, S. V. (2014). Academics reflecting on the highlighting of creativity and originality in their PhD by published work synthesis. In: *ISOTL 2014: Nurturing passion and creativity in teaching and learning*, Quebec, Canada.
Strunk, W. (2007). *The elements of style*. Penguin.
Sword, H. (2012). *Stylish academic writing*. Harvard University Press.
Valero-Garces, C. (1996). Contrastive ESP rhetoric: Metatext in Spanish-English economics texts. *English for Specific Purposes, 5*, 279–294.
Whitley, R. (2000). *The intellectual and social organization of the sciences*. Oxford University Press on Demand.

Neil H. Johnson is a Senior Lecturer for Masters in Education at the University of Sunderland. His research interests are in technology mediated and distance learning, multiliteracies, and English for academic and specific purposes.

Part II
Narratives of PhD by Publication

Chapter 6
The Retrospective PhD by Publication: A Lesser Doctorate?

Karen Campbell

Abstract The notion of 'doctoralness' is a complex and contested concept that has been put under the spotlight as a consequence of an expanding portfolio of doctoral awards available within a globalised higher education landscape. The Retrospective PhD by Publication provides a route for researchers who have peer-reviewed published works to gain recognition for their impact on the knowledge in the field. The expansion of the route has led to questions around what defines the doctorate: the nature of the output – the thesis – or the student's skills, or both? As the Retrospective PhD by Publication route has evolved, some have questioned its standing in relation to the more traditional path. However, there is very little evidence to suggest that the publication route results in a lesser doctorate. Reflecting on my research journey, in this chapter, I argue that the essence of 'doctoralness' lies in the developmental shift to researcher autonomy that results in an identity as a researcher. I use the Researcher Skills Development Framework designed by Willison and O'Regan to track the evolution of my researcher identity from a student's perspective. Based on the evidence of a shift from a dependent to an autonomous researcher, the outcome of which is an identity as a researcher, the Retrospective PhD by Publication is as robust a route to 'doctoralness' as any other. Moreover, for students following this path, this identity shift can be readily evidenced from the resulting critical review, which is more challenging to elicit from the traditional route's outcomes.

Introduction

Despite its growing popularity, the Retrospective PhD by Publication is still less well-known than the traditional PhD route. Mainstream discussions of the PhD rarely pay much attention to the PhD by published work and its efficacy is

K. Campbell (✉)
GCU, London, UK
e-mail: karen.campbell@gcu.ac.uk

© The Author(s), under exclusive license to Springer Nature Switzerland AG 2022

S. W. Chong, N. H. Johnson (eds.), *Landscapes and Narratives of PhD by Publication*, https://doi.org/10.1007/978-3-031-04895-1_6

under-researched (Peacock, 2017; Mason & Merga, 2018). Nevertheless, scepticism around the value of the qualification endures. Some see it as less formal and less recognised than a traditional PhD because of its short duration and its lack of structured research training and supervision (Chong, 2020). Quality assurance issues have been raised (Wilson, 2002; O'Keeffe, 2020), while institutional guidelines in universities have been found inadequate for producing theses of comparable quality to conventional dissertations and capitalising on the pathway's significant benefits (Jackson, 2013). In the eyes of many academic staff and some employers, the traditional PhD represents 'the gold standard' and any other form of doctorate is, 'at best, an inferior award and, at worst, jeopardises the whole meaning and understanding of 'a doctorate' (Taylor, 2008, 71). This statement reflects a widely held view that the outcome of anything other than of traditional route to a doctorate constitutes something lesser. Furthermore, there exists a widely held student and academic view that growth in non-traditional doctorates reflects 'creeping credentialism' (Neumann, 2005).

What Constitutes Doctoralness?

An understanding of 'doctoralness' is important, therefore, in terms of parity of esteem given the expanding portfolio of doctorates now available worldwide, a point emphasised by Wellington (2013). However, the concept of 'doctoralness' has long been contested (Gallie, 1955; Denicolo & Park, 2013; Poole, 2015). Indeed, even the word is contested with 'doctorateness' appearing to be the favoured descriptor (Hall, 2019; Yazdani & Shokooh, 2018), while some claim that this term is ungrammatical as the suffix 'ness' is normally added to adjectives. Consequently 'doctoralness' is preferred by others (Blass et al., 2012; Poole, 2015) and is the term chosen for this chapter.

The idea that there is an 'identifiable and common-to-all quality' in all the forms PhDs take would be rational and convenient. However, the determining factor in what constitutes 'doctoralness' remains elusive. Whereas some have argued that such a quality will never be found or accepted (Wellington, 2013), Poole (2015) disagrees and suggests building on the model of 'doctoralness' offered by Trafford and Leshem (2009). The task for doctoral students is to demonstrate an understanding of the research process as an integrated network of components, and, consequently to work confidently with abstractions and relationships (Trafford & Leshem, 2009 citing Perkins, 1993). Candidates should be able to show that they are capable of 'thinking like an experienced and competent researcher' and displaying, through language and underlying thought, the episteme appropriate to the particular discipline (Trafford & Leshem (2009, p. 143), again citing Perkins (2006, p. 42). In other words, they need to display the characteristics of the autonomous researcher.

Researcher Autonomy, Identity and Doctoralness

The essence of doctoralness, I argue, is researcher autonomy. That is, the candidate's movement from heavily dependent research in undergraduate studies to research autonomy at the level of doctoral and postdoctoral work (Willison & O'Regan, 2007). The outcome of this shift to autonomy helps the PhD student to identify as a researcher. Six elements of movement towards researcher autonomy are identified in the Researcher Skills Development (RDS) framework developed by Willison and O'Regan in 2006 and updated by Willison in 2018. Taken together, these elements play a part in researcher identity formation within a move from doctoral candidature to a more advanced position of 'doctoralness'. Researcher identity thus forms the key part of 'doctoralness.'

Whereas the traditional PhD typically involves a supervised programme of research, the publication route allows an evaluation of researcher development in retrospect, on a self-review of the publications themselves and their collective contribution to the knowledge. The Retrospective PhD by Publication has the potential to reshape what it is to be a doctoral student (O'Keeffe, 2020). However, few examples exist that provide evidence of the researcher skills developed via the process regarding a shift to an autonomous researcher. This chapter addresses this gap. In this chapter I provide evidence of my development as an autonomous researcher by reflecting on my experience as a doctoral candidate on the Retrospective PhD by Publication route. I do so by mapping my research outcomes to the key elements of the Researcher Skills Development Framework.

The Researcher Skills Development Framework

Educators have long been interested in making research skills development explicit to students. The trend towards increased research in undergraduate coursework amplified the need to outline researcher skills development. It prompted the introduction of the Researcher Skills Development Framework by Willison and O'Regan in 2006. This conceptual framework aims to prompt educators to consider their role in modelling, scaffolding, and withdrawing for students' research, problem-solving, and project-based learning (Willison, 2018). Rather than provide a set of rules to teach student research skills, the framework was designed to promote educator engagement to facilitate students to develop sophisticated thinking skills. The framework draws on Bernstein's (2000) notion of symbolic control and identity change charts the development of the skills associated with researching as a coherent, incremental and cyclic process.

Since its introduction in Australia, the RSD elements have been redefined over time with numerous adaptations of the model and increasing uptake of its use emerging internationally (Willison, 2018). The framework has been tested

empirically across undergraduate, master's programmes (Willison et al., 2017) and PhD supervision (Velautham & Picard, 2009).

Building on the RDS, Bitzer (2015) outlines six elements of movement towards researcher autonomy, defined as curiosity, determination, criticality, organisation, creativity and persuasion. Bitzer presents researcher identity development as a situation where the candidate moves from being a heavily dependent researcher in undergraduate studies (a clear non-researcher identity) to research autonomy at the level of doctoral (a desired researcher identity). Together, these elements of movement towards researcher autonomy play a critical part in researcher identity formation within the context of a move to 'doctoralness'. Table 6.1 maps the affective facets and critical questions related to each cognitive facet from the updated 2018 RSD to the elements of movement towards researcher autonomy defined by Bitzer (2015).

My Thesis Portfolio

It is perhaps helpful to map out the publications reviewed in my thesis to provide the context for my development as a researcher. My area of expertise is widening participation in Higher Education (HE). My thesis portfolio compromised five sole-authored peer-reviewed published papers selected to form a coherent whole. The purpose of the associated critical review was to take the key concepts and ideas articulated in the individual papers to address a new research question, thus making an original contribution to the field's knowledge. The five sole-authored papers under review are included in Appendix.

Using research based on Glasgow Caledonian University's (GCU) Common Good Curriculum, the first article (paper 1) contextualises widening participation (WP) within the realm of the civic role of universities. The second paper (paper 2) introduces the learner life cycle model. It illustrates how WP can be positively impacted by way of four exemplar case studies when HEIs develop their strategic approach to access and retention with a broad view of the learner journey. The third paper (paper 3) relates to an evaluation of a GCU widening participation initiative – the Advanced Higher Hub (the Hub) – and concentrates on the first two stages of the learner life cycle: getting ready to get in and getting into HE. The Hub is a year-long access programme where final year pupils from schools in some of Glasgow's most disadvantaged areas are brought onto campus to study Advanced Highers at university. These qualifications are typically taught in school and occupy level 7 (equivalent to first-year university) on the Scottish Credit and Qualifications Framework (SCQF). However, many schools, particularly in disadvantaged areas, struggle to provide a full range of Advanced Higher subjects to their final year pupils for reasons including small pupil numbers, timetabling constraints and lack of teacher expertise or resources (UCAS, 2018). The first of the author's studies involved interviewing Advanced Higher Hub pupils while studying at the Hub and school simultaneously. Building on this research, the fourth paper (paper 4)

Table 6.1 Researcher identity change mapped to the researcher skills development framework

Researcher Skills Development Framework		Researcher Identity Change
Cognitive facet	Affective facet and descriptor	Elements of movement towards researcher autonomy
Curiosity	Embark and clarify: respond to or initiate research and clarify or determine what knowledge is required, heeding ethical, cultural, social and team (ECST) considerations	To increasingly self-determine a need for knowledge and understanding; to be increasingly able to articulate research directions that expands the field or adds to knowledge in a particular field of problem-solving
Determination	Find and generate: find and generate needed information/data using appropriate methodology	To increasingly keep at the task of finding data or information from self-selected sources; to choose and develop appropriate methodology with self-structured guidelines and to increasingly generate new methods/methodologies towards answering research questions in novel applications
Criticality	Evaluate and reflect: determine and critique the degree of credibility of selected sources, information and of data generated. Meta-cognitively reflect on processes used	To be able to increasingly evaluate data or information from self-generated criteria critically and rigorously; to generate substantial research outcomes for ideas, practices and interpretations that may become foundational in the field or discipline
Organisation	Organize and manage: organise information and data to reveal patterns and themes, and manage teams and research processes	To organise data and information by increasingly using self-determined protocols; to start forming and developing research networks or communities
Creativity	Analyse and Synthesise: analyse information/data critically and synthesise new knowledge to produce coherent individual/team understandings	To synthesise, analyse and apply information/data to increasingly fill self-identified gaps or extend knowledge; to develop new concepts or interpretations and address substantial concerns across scholarly or other communities
Persuasion	Communicate and apply: discuss, listen, write, present and perform the processes, understandings and applications of the research, and respond to feedback, accounting for ethical, cultural, social and team issues	To increasingly master the language of the discipline or field; to choose appropriate genres to extend understanding and making knowledge publicly accessible and to increasingly contribute to the direction of conversations and discourse through publicly available communication of knowledge and understanding

Note: Researcher Skills Development Framework (Willison & O'Regan, 2007) updated to include affective descriptors (Willison, 2018) applied to by the development of researcher autonomy as described by Bitzer (2015)

describes the outcomes of a follow-up study where university students who had attended the Hub while still at school were interviewed about the impact of this experience on their subsequent transition to and through university. The theoretical lens through which the study's results are analysed in paper 4 is the Capabilities Approach. The fifth and final paper (paper 5) takes the same research outcomes and

analyses the findings from learner identity theory. Triangulating the analysis of research findings from various lenses in this way provides rigour to the qualitative research designs.

To demonstrate synthesis between the papers and the ideas therein and to illustrate how the critical review contributes to the knowledge in the field, I felt it important that my review poses and answers a new research question. The overarching research question posed by the thesis is:

Is widening participation in higher education best facilitated by immersion prior to entry?

The following section charts my development to 'doctoralness' based on the premise that a key facet of 'doctoralness' is to identify as a researcher. My identity as a researcher is a direct result of my movement from a dependent to an autonomous researcher. This shift in autonomy is outlined from the planning the individual papers to the position of being able to answer the new research question via a critical review of the substantive ideas emerging from my papers. Examples of evidence are mapped to the six tenets of the Researcher Skills Development Framework.

My Development to Autonomy as a Researcher

Curiosity

My ability to articulate research directions that expands the field (or in this case, fields) is evidenced in the following two examples based on the research described in the first two papers included in my critical review.

My first paper (paper 1), on the common good of universities, is placed it first in terms of analysis within my critical review as I felt that it provided the context for the four papers which followed, all of which deal with widening participation in HE. The research involved an evaluation of a whole curriculum development to support, recognise and embed the common good within both the taught curriculum and the broader student experience. This was to ensure that students develop the attributes needed to make a positive difference to the communities they serve and the knowledge, skills and values associated with their specific professional or disciplinary area. The two-year research study explored to what extent there was evidence that the curricular development was successful.

A commonly held view is that universities' contribution is eroding (Dill, 2014; Marginson, 2016). Moreover, many HEIs have what Musil (2003) refers to as a 'helter-skelter approach' to civic engagement. Goddard (2009) contends that civic engagement t needs to move beyond being a third or separate strand of university activity and instead become a guiding principle. This requires an institution-wide commitment whereby civic engagement is defined, measured and built into the

curriculum (Benson et al., 2005; Goddard, 2009; Leblanc, 2009). Yet few such institutional examples exist that focus on the curriculum as the mechanism to encourage civic engagement. It struck me that I had evidence of a model through which universities could operationalise their civic mission via the curriculum. Thus, I developed a paper on the common good of universities. It is in this respect that Paper 1 contributes to the knowledge in the field.

My curiosity to think beyond the purpose of the given research work to consider its implications for the broader field is also evident in my other four papers. My second paper came about when I completed my research on GCU's Advanced Higher Hub. I knew that I had an example of good practice by way of a widening participation programme that works. I also researched another area of GCU's outreach work that provided a second example of a model that had successful outcomes: the Caledonian Club. These two pieces of work related to transition into HE, one in terms of getting learners prepared ahead of entry and the other supporting entry to HE for learners from disadvantaged backgrounds.

This was important because, while there is a large amount of WP activity across the UK, there is a lack of robust evidence of its effectiveness and that much of the available evidence has design limitations (Younger et al., 2019). Additionally, there is a dearth of examples of whole-institution approaches to widening participation in HE in Scotland. Paper 2 aimed to address this gap. It was apparent to me that I had evidence of successful widening participation initiatives that fitted the first and second stages of Millburn's social mobility model that describes the four stages of the learner lifecycle as getting ready to get in; getting in; staying in; and moving beyond (Milburn, 2012, p. 3) model. From my independent research on GCU's common good curriculum, I realised that I also had evidence of the final stage of the social mobility model applied to HE; my evaluation of the Common Good Award. The Award encourages and supports students to develop the skills and attributes needed to make a positive difference to their communities through co- and extracurricular activities such as volunteering.

What was missing and what would provide a valuable contribution to the field was an institutional case study highlighting each of the four stages of Millburn's (2012) learner life cycle model from a widening participation perspective. I was missing one piece of the jigsaw that would demonstrate a joined-up, successful institutional approach to widening participation through the learner lifecycle. Thus I sought approval to carry out research to establish the efficacy of GCU's Learning Development Centres (LDCs) to show the importance of progression through and retention in HE. The LDCs were chosen as the example for 'staying in' as they are the mechanism through which student support is mainstreamed, contextualised within the discipline area, locally accessed and developed in consultation with course leaders. There is a particular emphasis on ensuring that students' individual needs are met and on supporting the needs of students from areas of deprivation. Thus, I had a case study for each of Milburn's four stages, which demonstrated a positive shaping of the student experience and validated a whole-institution life cycle approach to widening participation.

Determination

Selecting and applying appropriate research methodologies is, of course, an essential skill for any researcher to generate the data needed to address their research question(s). In the earlier part of my research journey, I tended to select tried and tested methodologies routinely used in educational research. I utilised Kirkpatrick's (1994) four-stage learner development model to analyse and evaluate the Advanced Higher Hub's efficacy. In my work on GCU's Learning Development Centres I opted for the RUFDATA (Saunders, 2000) methodology to combine my desk research with interview and questionnaire data from students and academics.

Deciding the methodology for a whole curriculum enhancement (the Common Good Curriculum) was more of a challenge. Most of my research and evaluation work up to this point involved determining the efficacy of an initiative, a bridging programme or an outreach activity. I had to consider the scope of the development under investigation and how I might achieve a depth of analysis across an entire curriculum, including evidence from co- and extracurricular levels and the Common Good Award. In my deliberations over an appropriate methodology, I decided to request an interview with our PVC Learning and Teaching whose idea was to refresh and develop the curriculum. I asked her whose responsibility it was to deliver the outcomes. Her answer was, 'Everyone'. The scope was therefore enormous.

I considered the Theory of Change as a potential model. This might allow me to produce a logic model to represent how the intervention produced its outcomes. What drew me to my eventual methodology (Appreciative Inquiry (AI)), an evaluation model that can be used from the outset of a development, was its emphasis on positive questioning. Appreciative Inquiry is a cooperative, co-evolutionary search for best practice and ideas to take an organisation forward (Preskill & Catsambas, 2006). The AI interview is thus crucial to the process underpinned by a belief that the questions we ask to contribute to the world we create. The methodological models I had utilised in the past were characterised, like most traditional approaches, by focusing on deficits and problems. The researcher generally comes along at the end of an innovation or development and asks questions of stakeholders that dwell on what is wrong, what is missing, what is not working and what still needs fixing. The learning from the evaluation occurs after the event, and there is limited opportunity to influence the development in any significant way.

Thus, I decided to apply an assets-based model for large-scale organisational change to the higher education context: evaluating our curriculum enhancement. I was drawn to AI's focus on what stakeholders value, want to grow, and are willing to take responsibility for making happen. This focus on creative solutions moves us away from a blame culture and toward a shared vision for the future. The AI method suited the context as the evaluation was designed to commence from the onset of the Common Good Curriculum enhancement to its conclusion over 2 years. Data was collected during each stage of the curriculum implementation over 2 years and followed the 5D AI cycle. The focus was very much forward-looking and on what was working well, and on identifying examples of good practice to generate more of the same. However, the main advantage I found from the researcher's

perspective is that evaluation is part of the innovation as its results feed into the development of the goal.

Criticality

My increasing ability to evaluate data from self-generated criteria critically is evident in my fourth and fifth papers where I examine my data from the lens of two different theoretical perspectives; the Capability Approach and Learner Identity theory respectively. These papers are based on a follow-up study with former Hub participants who had progressed to university to address the extent to which their Hub experience had prepared them for Higher Education. Reflecting on the data collected from this study, I began to question what it was that was contributing to the Hub's success. Clearly, the Hub was successful in providing HE access to learners from disadvantaged backgrounds who would not otherwise have had the opportunity. However, evidence from my second study pointed to the benefits the Hub experience had for student preparedness. I conducted a thematic analysis using the lens of the Capability Approach to address to what extent the Hub fostered capabilities for equitable transitions before entry (paper 4).

Capability theorists contend that an appropriate approach to widening participation would address what students need to be able to do and to be (their capabilities) in order to make the transition to HE successfully (see, for example, Sen, 1984, 1999; Nussbaum, 2003; Walker, 2008). Data from interviews with 30 students who participated in the programme are mapped to Wilson-Strydom's Framework for Equitable Transitions to University (2016) based on the Capability Approach. I selected this framework as it aligned with the widening participation agenda and was an appropriate context for developing a paper about the Hub initiative's efficacy in developing capabilities for equitable transitions to HE. My research question from the theoretical lens of the Capability Approach was:

- To what extent does immersion within a university learning environment prior to entry foster capabilities for an equitable transition to HE?

I demonstrated that a model based on immersing school pupils within the HE learning environment before entry can serve as an enabler for capability development and equitable transitions. The transformational impact of the experience on learners was evidenced in terms of their self-reported capabilities for practical reasons about post-school choices, their academic grounding in chosen university subjects, and their ability to apply critical analysis skills to complex problems. Participants developed as independent learners. Their sense of belonging in HE was engendered via social relations and networks. Their maturity was developed from being treated with respect and recognised as HE learners, and their emotional health was nurtured within a learning environment which was friendly and supportive. The outcome of developing capabilities for HE was a transition experience which was smoother and easier than it might otherwise have been. This was facilitated by a shift in learner

identity from that of school pupil to HE student. To this extent, the immersive model in operation at the Hub has widened participation in HE for learners from target schools and advanced it.

In terms of the overarching research question, this paper suggests that the experience of studying HE-level qualifications within a university setting while still at school provides learners from disadvantaged backgrounds with the capabilities for an equitable transition to university. Also, it points to the usefulness of Advanced Highers as a form of HE preparation. This is important as access to Advanced Highers is inequitable. My research shows that preparation for HE for learners from disadvantaged backgrounds needs to start as early in the life cycle as possible and focus on developing capabilities around practical reason, knowledge and imagination; learning disposition; social relations; respect, dignity and recognition; and emotional health.

A further example of critically examining my data from a meta-cognitive level is evidenced in my paper on learner identity (paper 5). A significant finding, highlighted in the Capability paper (paper 4), is that when capabilities for equitable transitions are fostered before entry, learners identify as university students. Learner identity formation was, therefore, becoming a key theme, and it would be interesting and useful to determine where in the cycle of emerging transitional factors it sat. Having already decided to embark on the follow-up Hub study, I decided to incorporate an interview question designed to elicit information about learner identity, specifically when participants (now at university) began to feel like students and what contributed to this distinction. My research questions from the theoretical lens of learner identity included:

- To what extent does immersion in higher education whilst still at school facilitate the development of a higher education learner identity for learners from disadvantaged backgrounds?
- How does developing a higher education learner identity before university entry contribute to successful student transition for learners from disadvantaged backgrounds?

Paper 5 uses learner identity theory as a framework for analysis of the Hub research data. A thematic analysis of interview data revealed that the Hub participants' identity shifted from that of school pupil to university student due to the opportunity to develop academic skills and become independent learners. Different forms of social relations and networks with new friends, and a less formal relationship with teaching staff than participants were used to at school, were also factors. Personal and social skills, including confidence, independence and motivation, were facilitated from the experience of studying HE-level qualifications within a university environment and had a positive impact in terms of readiness for the transition. Different teaching styles from those participants were used to at school (including the flipped classroom approach[1]) engaged learners who drew comparisons with preparation for

[1]The flipped classroom is a new pedagogical method that employs asynchronous video lectures and practice problems as homework and active, group-based problem-solving activities.

university tutorials. A sense of belonging in HE was fostered by having full use of the facilities, being around like-minded people, having student cards, and not wearing a uniform. These key factors facilitated the development of a positive learner identity as HE student before entry.

Thus, I was able to articulate a model for HE learner identity formation, which might be particularly applicable for learners from disadvantaged backgrounds. The model highlights how an immersive experience of university enables the development of a transformative HE learner identity prior to entry. In the context of the current dialogue on fair access and widening participation to HE internationally, insight articulated within Chaps. 2, 3, 4, and 5 point policymakers to the benefits of long-term immersion in HE before entry for a successful transition to university. This is important because the WP area remains under-researched and evidence of the impact of widening participation activities is scant.

Organisation

The outputs of my research demonstrate an increasingly efficient and sophisticated approach to data management and organisation. In addition to desk research, the Common Good Curriculum research involved gathering and analysing data gathered from staff and students from across the institution at various points in the AI model's developmental stages. A separate evaluation of the Common Good Award was carried concurrently to feed into the evidence being evaluated. I developed an evaluation strategy that would cover the entire development over 2 years. The strategy had to be agreed by the development's steering group before I embarked on the research. Once agreed, I organised my staff and student interviews according to the philosophy of the AI approach.

Framing data via thematic analysis according to the fundamental tenets of the Capability Approach (paper 4) and to Learner Identity theory (paper 5) took organisation and first gaining an up to date understanding of the relevant literature. After transcribing my interviews, I adopted a recognised approach to thematic analysis to identify key themes across the dataset related to the research questions (Braun & Clarke, 2006). This six-stage approach involved: familiarisation with the data set; generating initial codes to identify a feature of the data and collating the data by code; searching for themes; reviewing and refining themes; defining and naming themes, counting the number of respondents who mentioned and provided evidence for each theme and writing up the analysis by theme with reference to the research questions. Specifically, an inductive or 'bottom up' analytic approach to thematic analysis was used. Analysis was guided by the themes that emerged from the data rather than by prior theoretical accounts. The next stage was to apply this knowledge to the widening participation agenda from the current policy context.

Managing the research process itself of course, necessitates organisation skills. My initial research on the Advanced Higher Hub involved organising interviews

with participants, some of whom were only on campus twice a week and engaged in a heavy learning workload. For this study, I also had to organise a disclosure check to interview learners under 18. Following due protocol in terms of ethical approval is another area to factor into the organisation of research activity. The follow-up Hib study with 30 former Hub participants who had progressed to university meant finding a way to establish which universities those students who might take part were based. As it transpired, students were located at a range of institutions UK-wide. I enlisted the help of a 'gatekeeper' in the form of the Hub manager, who contacted potential participants to engage in the study. Having obtained consent to participate from the students, I organised to meet them at their own university wherever that was appropriate. This involved a good deal of travel between institutions and where distance proved too much of a barrier, I carried telephone interviews.

The more I published the more I was able to disseminate my research via conferences and research networks. My research has been presented at various international conferences, including the Open University's annual international conference, the Universities' Association of Lifelong Learning's annual International Conference, the Society for Higher Education Research's annual conference, the Higher Education Institutional Research network's annual conference, and the international conference of the European First Year Experience Network. I presented two papers on the Common Good Curriculum at the AshokaU Exchange in Boston, USA. My widening participation expertise led to an invitation to provide the keynote at the Widening Access in 2018: Next Steps Holyrood event in December 2017 and an invitation to present the keynote at the inaugural Teach-Learn-Share symposium at the University of Lancaster in 2018. My increased public profile has led to invitations from colleagues to co-author book chapters and journal articles. This includes frequent requests to review journal articles (Studies in Higher Education, Journal of Widening Participation and Lifelong Learning) and conference papers for, for example, Universities Association of Lifelong Learning and the Society for Higher Education Research.

Writing for publication as a sole author and writing a thesis based on previous publications can be alienating experiences. As a sole author, there is no one to rely on to develop ideas, cover parts of the writing or review process, or chivvy you when motivation is sapped or exhaustion has set in. Similarly, the Retrospective PhD by Publication process can be isolating. Students undertaking traditional PhDs tend to have a peer group to interact with and derive support. Academic staff undertaking professional doctorates are in the same position as these programmes usually contain a significant taught element where staff participate as part of a cohort. To mitigate this situation, I approached three research colleagues, all of whom had PhDs, to ask for their help to mentor me through the writing for publication process. Thus, I built my own mini-community of support that would not have been available otherwise. This proved invaluable and I now feel able to offer the same support to others. Another challenge arises from the fact that the candidate only registers as a PhD student at the end of the process when they have a sufficient body of publications and a plan for a thesis, if not some of the chapters already drafted. The process

of registering as a student generates information about what support is available within the institution to facilitate academic writing or writing for publication, for example. There are generally peer writing groups, workshops, lunchtime seminars, online resources and writing retreats. Having candidates register at what is effectively the end of the main period of work (writing for publication) there is the potential for this support to be missed.

Creativity

My increasing capacity to synthesise, analyse and apply data to fill self-identified gaps and to extend knowledge is clear from my critical review. Perhaps the most challenging aspect of the Retrospective PhD by Publication is demonstrating the synthesis between the papers under review. Indeed, structuring the synthesis may be more of a challenge than the research itself (Carter, 2009) cited in Smith (2015). To demonstrate that my critical review provided a cohesive and original body of work I did two things. First, I developed a new research question that was specific to the thesis. Regulations for the Retrospective PhD by Publication often fail to make it explicit that the thesis addresses a new research question. This oversight, I would argue, does nothing to alleviate concerns over the extent to which the route can be deemed 'doctoral.'

Having articulated the emergent research question, I endeavoured to highlight in my review the 'golden thread' emphasised by Smith (2015). That is, the thread that links the main findings from my research and key ideas emerging in my papers to provide a response to the new research question. I wanted to show how key themes guide the narrative to demonstrate the cohesion and development of the body of work. In my critical review I expressed these in a diagram below, which also provided an overview of the policy and wider context driving the research. Additionally, linkage between the respective papers and emerging themes are indicated to demonstrate the conclusion in terms of the overarching research question. Figure 6.1 maps the themes emerging from my research and links the papers included in my critical review to illustrate how I addressed my overarching research question.

Inherent in researcher autonomy is the ability to synthesise. My critical review charts the development and synthesis of my papers' key ideas and emerging themes: the civic role of universities; student transitions; acculturation; capabilities; engagement; belonging; and learner identity. The ideas, findings and connections between the papers are emphasised. In this way I was able to fill a self-identified gap in the knowledge to being new interpretations that expand the field: that immersion before entry is a widening participation enabler. In this way my contribution is original and adds value.

The process of planning and developing the critical review is, therefore, essentially about meta-analysis; abstracting yourself from the micro-level of your research and considering the macro themes emerging in your publications to answer a new research question. This, I argue, is what gives the Retrospective PhD its

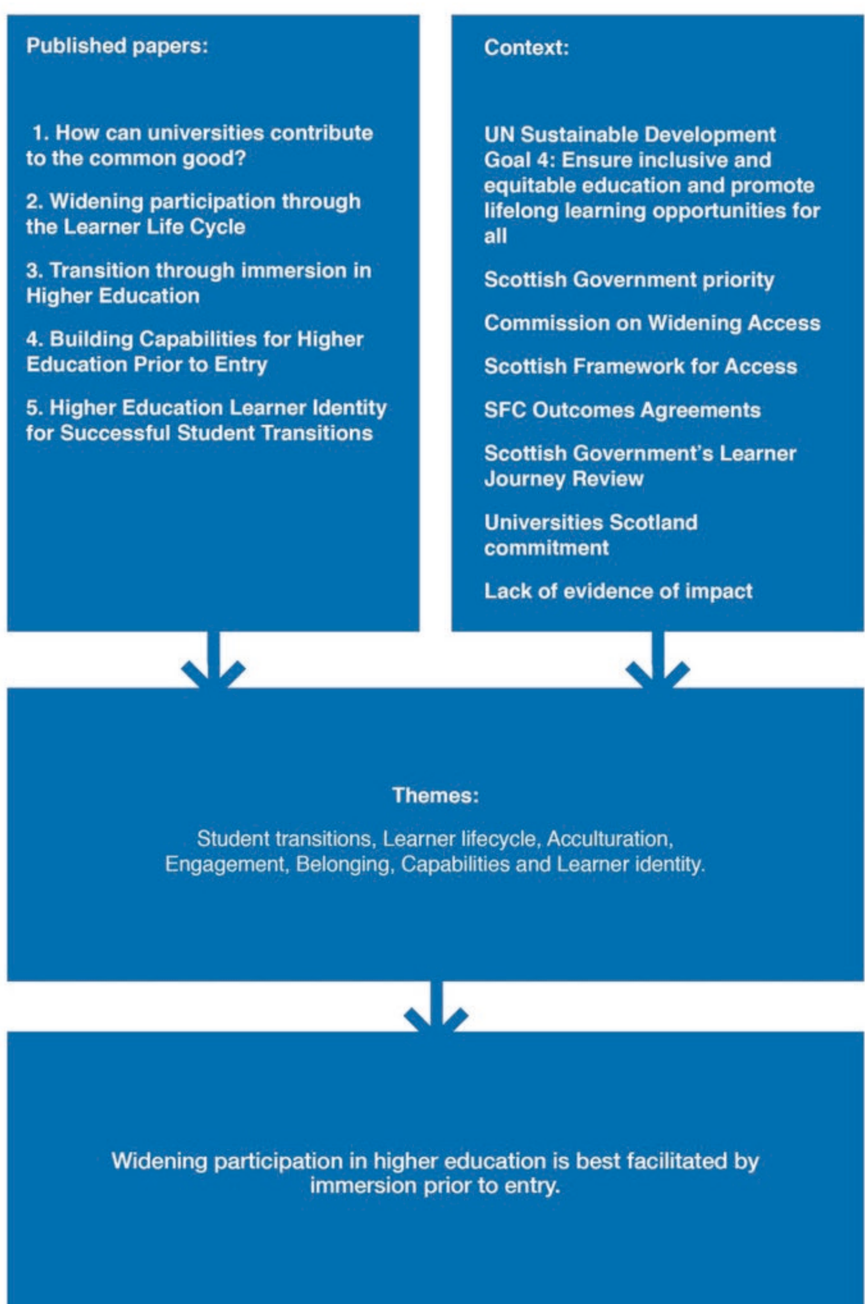

Fig. 6.1 Research papers, emergent themes and thesis

synergy. The research question necessarily forms the basis of the thesis development and it is what I kept uppermost in my mind when considering the way my papers link. It determined the order in which the publications were discussed to weave my ‘golden thread’.

Persuasion

Persuasion within the RDS framework is defined, in part, as being increasingly able to master the language of the discipline or field. In my literature review, I illustrate that *widening participation* is a difficult concept to pin down. It has numerous shades of meanings which are embedded in a spectrum of purposes, including political, economic, equity and social justice, lifelong learning and social capital rationales. Moreover, understanding WP is made complex since definitions can be confused and contradictory, with *access* and *participation* routinely conflated.

Further, I stress that it is essential, however, to distinguish widening *access* from widening *participation* to avoid conflation. Widening participation broadly refers to the widening of the social groups that benefit from higher education. It considers the whole student life cycle from pre-entry to, progression through, and successful completion of the programme. In contrast, *access* is generally accepted to be concerned with *getting in* to HE, and interventions associated with *widening access* such as outreach or induction activities tend to focus on the point of entry. Similarly, it is crucial to distinguish simply *increasing* participation in HE from *widening* participation as, despite periods of expansion in HE internationally, the former has not resulted in the latter. Widening access and participation can be seen, therefore, to have overlapping but differentiated boundaries.

I note that widening participation is usually taken to refer to activities and interventions aimed at creating an HE system that includes all who can benefit from it – people who might not otherwise view learning as an option, or who may be discouraged by social, cultural, economic or institutional barriers. Social class differentials in HE participation rates are thus crucial to understanding under-representation. However, widening participation also involves thinking about older, part-time and work-based students, care-experienced students, student carers, estranged students and veterans, for example. It encompasses issues of gender, ethnicity, disability, geography, equality and diversity. It is also important to acknowledge the *diversity of diversity* (Moore et al., 2013, p. 10). That is, to move beyond monolithic categories to look at where different social characteristics intersect, thus acknowledging people’s multiple identities. Viewing *widening participation students* as a homogenised group risks a deficit approach at the expense of more sophisticated and student-centred measures that reflect the diversity of the student body (Butcher et al., 2012).

Additionally, I emphasise that access is only part of the widening participation agenda. The question remains: access to what? In other words, it is not enough to focus on those *getting in* to higher education unless *staying in* and *moving beyond*

are considered; otherwise any gains in access will not be consolidated (Osborne, 2003, p. 18). Finally, I recognise that it is important to move beyond the 'barriers' metaphor of widening participation given that a large body of research since the 1950s has found that the determinants of participation and non-participation are long-term (Gorard et al., 2006). Such findings emphasise the importance of reviewing evidence on participation through an individual's *life-course* (Gorard et al., 2006) rather than simply providing lists of factors that discourage participation.

I was able to extend understanding of widening participation in HE by viewing my research from the respective lenses of the Capability Approach and Learner Identity theory (papers 4 and 5). This necessarily entailed becoming increasingly familiar with and being able to apply the language associated with each of these theoretical perspectives.

My contribution to the direction of conversations and discourse of widening participation is evident in the published papers themselves as well as in the numerous conference papers I have presented at international events and symposia. Writing for an international audience necessitates close attention to detail and developing a critical external eye, especially in terms of explaining the Scottish HE policy and context of my work. I have developed as an academic writer. I pay more attention to ensuring that the paper's claims meet my research objectives. I am more aware of the necessity to make my research questions explicit, to include caveats about the limitations of the findings and to signal further research possibilities. I am also more focussed on highlighting the way in which my research fills an evidence gap and makes a contribution to the field. This has been aided by having the confidence to contact journal editors to discuss possible papers which might contribute to an ongoing discourse within the journal.

Internally the research has informed institutional strategy and associated work plans and the Enhancement-led Institutional Review. The research provided evidence of impact and case studies for the institution's report on the University's Outcomes Agreement with the Scottish Funding Council and contributed evidence on the Common Good Curriculum development for GCU's re-accreditation as an AshokaU change maker campus. My papers are included as part of an Education submission for the Research Excellence Framework 2021.

Externally, the research outputs in widening participation have been requested by the Commission on Widening Access to inform the development of the Framework for Fair Access and the Scottish Toolkit for Fair Access. The report from work on GCU's Advanced Higher Hub is available as an example of good practice on the Scottish Government's website. The widening participation research is also available in the *grey* literature such as a piece developed for Wonke and as blog posts.

Outputs from the work on the Advanced Higher Hub led to the research being short-listed for the 2019 Universities Association for Lifelong Learning Research Award. The research on widening Participation informed the direction of the Scottish Government's' plans for fair access in terms of the Framework for Access, especially around CoWA's recommendations. My WP research has been

included in submissions for institutional awards including the Social Mobility Awards, the Times Higher Educational Awards and the Herald Awards. Evidence from the Common Good Curriculum research and the Hub research was submitted for the UK Social Mobility Awards 2019 which was won by GCU. Research evidence on the impact of the Hub informed the development of the Hub moving forward. The Hub research was also used to present evidence to the funding bodies (SFC and Glasgow City Council) which helped secure continued funding in 2018.

The research and evaluation of GUC's Common Good Curriculum has been used as an example of good practice by AshokaU. I was commissioned by AshokaU to write a book chapter about my approach to evaluating the Common Good Curriculum for an international compendium on evaluation. The paper, *How can universities contribute to the common good?* took the idea of the civic university to a global audience and won the Association of University Administrators' 2019 Essay Prize. I am now regularly asked to provide expert advice on evaluation planning and methodologies for WP programmes and initiatives from external organisations. I was invited to deliver a keynote at Holyrood on *Widening Access 2018: Next Steps* and I presented the keynote at the inaugural *Teach-Learn-Share* symposium at the University of Lancaster in November 2018.

Summary of Evidence

Evidence of the author's movement toward research autonomy mapped to the tenets of the Researcher Skills Development framework is summarised in Fig. 6.2.

Researcher Skills Development Framework	Summary of evidence of movement towards research autonomy
Curiosity	An increasing tendency to think beyond the purpose of the given research work to consider its implications for the broader field is evident in all five papers. Examples include: Recognising the need for a whole-institution case study on how universities might operationalise their civic mission through the curriculum; and adding to the knowledge in the widening participation field with an example of a whole-institution approach to managing transition and the benefits thereof
Determination	Keeping at the task of finding data evidenced by: Developing a follow-up study of students who had progressed to university having participated in the advanced higher hub initiative, to establish its impact on their subsequent transition to HE Moving from using a range of established educational research methodologies to seeking out and adopting methodologies from other disciplines, to apply in the HE context, for example: Appreciative inquiry

(continued)

Researcher Skills Development Framework	Summary of evidence of movement towards research autonomy
Criticality	An increasing ability to evaluate data from self-generated criteria critically, evident in: Papers 4 and 5 papers where the data is examined from the lens of two different theoretical perspectives; the Capability Approach and Learner Identity theory respectively The outcomes both informed the overarching research question and contributed knowledge to the field by way of: The significance of immersion in HE before entry to provides learners from disadvantaged backgrounds with the capabilities for an equitable transition to university; A model for HE learner identity formation, which might be particularly applicable for learners from disadvantaged backgrounds
Organisation	An increasingly efficient and sophisticated approach to data management and organisation evidence in: Developing research and evaluation strategies for a whole curriculum enhancement lasting 2 years; Adopting thematic analysis to identify key themes across the dataset related to the research questions; Planning and managing research with participants based at a range of universities across the UK and beyond; Developing a range of research networks and communities to develop and disseminate my work; Self-appointing mentors to build my own mini-community of support while developing papers
Creativity	An increasing capacity to synthesise, analyse and apply data to fill self-identified gaps and to extend knowledge, evidenced in: Developing a new research question that was specific to the critical review; Highlighting the 'golden thread' that links the main findings from my research and critical ideas emerging in my papers to provide a response to the new research question to demonstrate the cohesion and development of the body of work
Persuasion	An increasing ability to master the language of the discipline or field is evidenced in: A literature review that explores the contested, sometimes conflated language of access and participation and stresses the importance of moving beyond the 'barriers' metaphor of widening participation Choosing appropriate genres to extend understanding and making knowledge publicly accessible and to increasingly contribute to the direction of conversations and discourse publically is evidenced in: Extending an understanding of widening participation in HE from the respective lenses of the Capability Approach and Learner Identity theory. Communicating and applying the understandings and applications of the research is evidenced by: The published papers themselves; Conference papers, workshops and keynotes delivered internationally; Informing institutional strategy and providing evidence of impact; Submissions for institutional awards; Informing sectoral-wide developments in widening participation

Researcher Skills Development Framework	Summary of evidence of movement towards research autonomy
Curiosity	An increasing tendency to think beyond the purpose of the given research work to consider its implications for the broader field is evident in all five papers. Examples include:
	Recognising the need for a whole-institution case study on how universities might operationalise their civic mission through the curriculum; and adding to the knowledge in the widening participation field with an example of a whole-institution approach to managing transition and the benefits thereof.
Determination	Keeping at the task of finding data evidenced by: • Developing a follow-up study of students who had progressed to university having participated in the Advanced Higher Hub initiative, to establish its impact on their subsequent transition to HE. Moving from using a range of established educational research methodologies to seeking out and adopting methodologies from other disciplines, to apply in the HE context, for example: • Appreciative Inquiry.
Criticality	An increasing ability to evaluate data from self-generated criteria critically, evident in: • Papers 4 and 5 papers where the data is examined from the lens of two different theoretical perspectives; the Capability Approach and Learner Identity theory respectively. The outcomes both informed the overarching research question and contributed knowledge to the field by way of: • The significance of immersion in HE before entry to provides learners from disadvantaged backgrounds with the capabilities for an equitable transition to university; • A model for HE learner identity formation, which might be particularly applicable for learners from disadvantaged backgrounds.
Organisation	An increasingly efficient and sophisticated approach to data management and organisation evidence in: • Developing research and evaluation strategies for a whole curriculum enhancement lasting two years; • Adopting thematic analysis to identify key themes across the dataset related to the research questions; • Planning and managing research with participants based at a range of universities across the UK and beyond; • Developing a range of research networks and communities to develop and disseminate my work;

Fig. 6.2 Summary of evidence of movement towards research autonomy mapped to the RDS

Conclusion

In his response to Wellington on the search for a definition of 'doctoralness', Poole (2015) concludes that a thesis might primarily be assessed (by academics experienced in the relevant discipline or disciplines) largely on the extent to which the material could potentially be adapted for publication in reputable journals. The Retrospective PhD by Publication, by definition, already meets these criteria. A fuller characterisation of 'doctoralness' might incorporate an assessment of both the quality of the thesis in terms of its propensity to generate outcomes published in peer-reviewed journals and evidence of the candidate's movement towards research autonomy. Researcher identity is a critical feature of 'doctoralness' which can only be achieved when such a shift is evident. In this chapter I have demonstrated that the Retrospective PhD by Publication affords the candidate the opportunity to highlight evidence of their increasing autonomy as a researcher. The traditional PhD candidate only has the viva voce to rely on for such an assessment. I conclude, therefore, that the Retrospective PhD by Publication is not only as robust a route to 'doctoralness' as any other; it has a unique structure in the critical review that allows for the assessment of emerging researcher autonomy.

Takeaway for PhD by Publication supervisors:
Willison and O'Regan's (2007) Researcher Skills Development Framework can be used as a useful tool to track the evolution of PhD by Publication candidates' researcher identity.

Takeaway for PhD by Publication candidates:
The unique value of the PhD by Publication lies in the development of "doctoralness" in students, which refers to the development of ownership and autonomy as an independent researcher.

Appendix

List of peer-reviewed published papers included in critical review for Retrospective PhD by Publication*

1. MacFarlane, K. (2019) 'How can universities contribute to the common good?' *Perspectives: Policy and Practice in Higher Education*. [Viewed 12 November 2019] DOI: https://www.tandfonline.com/doi/full/10.1080/13603108.2019.1567615
2. MacFarlane, K. (2019) 'Widening participation through the Learner Life Cycle', *Journal of Widening Participation and Lifelong Learning*. **21**(1). [Viewed 12 November 2019] DOI: https://doi.org/10.5456/WPLL.21.1.894

3. MacFarlane, K. (2016) 'Transition through immersion in HE: An evaluation of how a transition and immersion programme for school pupils embeds a culture of the university experience for key stakeholders', *Journal of Widening Participation and Lifelong Learning*. **18**(3). [Viewed 12 November 2019] DOI: https://doi.org/10.5456/WPLL.18.3.63
4. MacFarlane, K. (2019) 'Building capabilities for Higher Education prior to entry', *Journal of Widening Participation and Lifelong Learning*. **21**(3). DOI: https://doi.org/10.5456/WPLL.21.3.5
5. MacFarlane, K. (2018) 'Higher Education learner identity for successful student transitions', *Higher Education Research and Development*. 37(6). [Viewed 12 November 2019] DOI: https://doi.org/10.1080/07294360.2018.1477742

*Surname changed to Campbell in 2020.

References

Benson, L., Harkavy, I., & Hartley, M. (2005). Integrating a commitment to the public good into the institutional fabric. In A. J. Kezar, T. C. Chambers, & Burkhardt and Associates (Eds.), *Higher education for the public good, emerging voices from a national movement* (pp. 185–216). Jossey-Bass.

Bernstein, B. (2000). *Pedagogy, symbolic control, and identity*. Rowman & Littlefield Publishers.

Bitzer, E. M. (2015). The doctoral quest as an alternative metaphoric narrative for doctoral research education. *Journal for New Generation Sciences, 13*(3), 1–16.

Blass, E., Jasman, A., & Levy, R. (2012). Supervisor reflections on developing doctoralness in practice-based doctoral students. *Quality Assurance in Education, 20*(1), 31–41.

Braun, V., & Clarke, V. (2006). Using thematic analysis in psychology. *Qualitative Research in Psychology, 3*(2), 77–101.

Butcher, J., Corfield, R., & Rose-Adams, J. (2012). Contextualised approaches to widening participation: A comparative case study of two UK universities. *Widening Participation and Lifelong Learning, 13*(1), 51–70.

Carter, S. (2009). Old lamps for new: Mnemonic techniques and the thesis. *Arts and Humanities in Higher Education, 8*(1), 56–68.

Chong, S. W. (2020). PhD by published work and "doctorateness": My experience at a UK university. *Innovative Practice in Higher Education, 4*(1), 1–12.

Denicolo, P. M., & Park, C. (2013). Doctorateness – An elusive concept? In *Critical issues in higher education* (pp. 191–197). Sense Publishers.

Dill, D. D. (2014). Assuring the public good in higher education: Essential framework conditions and academic values. In *Higher education as a public good: Critical perspectives on theory, policy and practice* (pp. 141–162). Peter Lang.

Gallie, W. B. (1955, January). Essentially contested concepts. In *Proceedings of the Aristotelian society* (Vol. 56, pp. 167–198). Aristotelian Society, Wiley.

Goddard, J. (2009). *Re-inventing the Civic University*, NESTA Report, London.

Gorard, S., Smith, E., May, H., Thomas, L., Adnett, N., & Slack, K. (2006). *Review of widening participation research: Addressing the barriers to participation in higher education*. HEFCE.

Hall, E. (2019). Grasping the nettle of 'doctorateness' for practitioner academics: A framework for thinking critically about curriculum design. *Studies in Continuing Education, 41*(2), 157–172.

Jackson, D. (2013). Completing a PhD by publication: A review of Australian policy and implications for practice. *Higher Education Research & Development, 32*(3), 355–368.

Kirkpatrick, D. (1994). Evaluation, training programs: The four levels, San Francisco: Berrett-Koehler publishers. Learning transfer. *International Journal of Training and Development, 6*(1), 36–48.

Leblanc, P. (2009). Making civic engagement matter to more students: Expanding our reach and improving our practice. In *Civic Engagement, Civic Development, and Higher Education* (pp. 25–30). Bringing Theory to Practice.

Marginson, S. (2016). *Higher education and the common good*. Melbourne University Publishing.

Mason, S., & Merga, M. (2018). Integrating publications in the social science doctoral thesis by publication. *Higher Education Research & Development, 37*(7), 1454–1471.

Milburn, A. (2012). *University challenge: How higher education can advance social mobility*. Cabinet Office.

Moore, J., Sanders, J., & Higham, L. (2013). *Literature review of research into widening participation to higher education* (Report to HEFCE and OFFA). Aim Higher Research & Consultancy Network.

Musil, C. M. (2003). Educating for citizenship. *Peer Review, 5*(3), 4–8.

Neumann, R. (2005). Doctoral differences: Professional doctorates and PhDs compared. *Journal of Higher Education Policy and Management, 27*(2), 173–188.

Nussbaum, M. (2003). Capabilities as fundamental entitlements: Sen and social justice. *Feminist Economics, 9*(2–3), 33–59.

O'Keeffe, P. (2020). PhD by publication: Innovative approach to social science research, or operationalisation of the doctoral student… or both? *Higher Education Research & Development, 39*(2), 288–301.

Osborne, M. (2003). Increasing or widening participation in higher education?: A European overview. *European Journal of Education, 38*(1), 5–24.

Peacock, S. (2017). The PhD by publication. *International Journal of Doctoral Studies, 12*, 123–135.

Perkins, D. (1993). Teaching for understanding. *The Professional Journal of the American Federation of Teachers, 17*, 28–35.

Perkins, D. (2006). Constructivism and troublesome knowledge. In J. Meyer & R. Land (Eds.), *Overcoming barriers to student understanding: Threshold concepts and troublesome knowledge*. Routledge.

Poole, B. (2015). The rather elusive concept of 'doctorateness': A reaction to Wellington. *Studies in Higher Education, 40*(9), 1507–1522.

Preskill, H., & Catsambas, T. T. (2006). *Reframing evaluation through appreciative inquiry*. Sage.

Saunders, M. (2000). Beginning an evaluation with RUFDATA: Theorizing a practical approach to evaluation planning. *Evaluation, 6*(1), 7–21.

Sen, A. (1985). Well-being, agency and freedom: The Dewey lectures 1984. *The Journal of Philosophy, 82*(4), 169–221.

Sen, A. (1999). Development as freedom. In *The globalization and development reader: Perspectives on development and global change* (p. 525). Wiley Blackwell.

Smith, S. (2015). PhD by published work: A practical guide for success. Macmillan International Higher Education.

Taylor, J. (2008). Quality and standards: The challenge of the professional doctorate. *Higher Education in Europe, 33*(1), 65–87.

Trafford, V., & Leshem, S. (2009). Doctorateness as a threshold concept. *Innovations in Education and Teaching International, 46*(3), 305–316.

UCAS. (2018). *Qualification information profile list, advanced higher – New*. Available from: https://qips.ucas.com/qip/advanced-higher-new

Velautham, L., & Picard, M. Y. (2009). Collaborating equals: Engaging faculties through teaching-led research. *Journal of Academic Language and Learning, 3*(2), A130–A141.

Walker, M. (2008). A human capabilities framework for evaluating student learning. *Teaching in Higher Education, 13*(4), 477–487.

Wellington, J. (2013). Searching for 'doctorateness'. *Studies in Higher Education, 38*(10), 1490–1503.

Willison, J. W. (2018). Research skill development spanning higher education: Critiques, curricula and connections. *Journal of University Teaching & Learning Practice, 15*(4), 1.

Willison, J., & O'Regan, K. (2007). Commonly known, commonly not known, totally unknown: A framework for students becoming researchers. *Higher Education Research & Development, 26*(4), 393–409.

Willison, J., Sabir, F., & Thomas, J. (2017). Shifting dimensions of autonomy in students' research and employment. *Higher Education Research & Development, 36*(2), 430–443. https://doi.org/10.1080/07294360.2016.1178216

Wilson, K. (2002). Quality assurance issues for a PhD by published work: A case study. *Quality Assurance in Education, 10*(2), 71–78.

Wilson-Strydom, M. (2016). A capabilities list for equitable transitions to university: A top-down and bottom-up approach. *Journal of Human Development and Capabilities, 17*(2), 145–160.

Yazdani, S., & Shokooh, F. (2018). Defining doctorateness: A conceptual analysis. *International Journal of Doctoral Studies, 13*, 31–48.

Younger, K., Gascoine, L., Menzies, V., & Torgerson, C. (2019). A systematic review of evidence on the effectiveness of interventions and strategies for widening participation in higher education. *Journal of Further and Higher Education, 43*(6), 742–773.

Karen Campbell's background in educational research and development spans more than 30 years. As part of the Educational Research and Evaluation team, Karen initiates, co-ordinates and carries out research and evaluation activity in collaboration with research colleagues across the University in the areas of widening participation, academic practice development and the student experience. This includes leading and engaging in educational research and impact evaluation and producing research publications of national and international quality. As well as enhancing the University's national and international profile in relation to educational research, Karen's work provides an evidence base for policy and practice in learning and teaching across GCU through institutional research aligned to key institutional priorities and impact evaluation.

Chapter 7
Evolving Identities: A Collaborative Autoethnography in Supervising and Being Supervised by Colleagues

Karen Gravett, Ian Kinchin, and Naomi Winstone

Abstract In traditional representations of doctoral supervision, the relationship between supervisor and doctoral candidate is often conceptualised as hierarchical: master and apprentice; expert and novice; supervisor and student. Even in the case of more constructivist orientations which seek to position the process as more complex than the mere transmission of expertise, it is the doctoral candidate who is positioned as the one who evolves, as a result of a rite of passage (e.g., Petersen, Stud High Educ 32(4): 475–487. 10.1080/03075070701476167, 2007). In recent years, there have been calls for more fluid conceptualisations that question such hierarchical positionings of supervisor and doctoral candidate. For example, Fullagar et al. (Knowl Cult 1(4): 23–41, 2017) represent doctoral supervision as a 'learning alliance', where both supervisor and doctoral candidate develop and learn. In this chapter, we draw upon a collaborative autoethnography by three colleagues, one who occupied the role of Doctoral Candidate and two who occupied the role of Supervisor, in order to interrogate the notion of fixed identities within both roles. Drawing upon the Deleuzian concept of 'becoming', and Braidotti's ideas of 'process ontology', we explore how the supervisory relationship for a Prospective PhD by Publication offers processes of becoming for both supervisors and doctoral candidates, and we also call into question the expert/novice dichotomy that conceptualises traditional models of supervision. We reflect upon what this rethinking might signify for both the Prospective PhD by Publication, as well as for other models of doctoral supervision, and the broader concepts of learning and change.

K. Gravett (✉) · I. Kinchin · N. Winstone
Surrey Institute of Education, The University of Surrey, Guildford, UK
e-mail: k.gravett@surrey.ac.uk

© The Author(s), under exclusive license to Springer Nature Switzerland AG 2022

S. W. Chong, N. H. Johnson (eds.), *Landscapes and Narratives of PhD by Publication*, https://doi.org/10.1007/978-3-031-04895-1_7

Introduction

This chapter draws upon the autobiographical experiences of three academics involved in a doctoral supervision relationship, in order to ask new questions about the evolving identities of colleagues working together, and to reconsider how doctoral supervision and study might be understood.

These experiences are situated within the broad and rich literature on doctoral supervision, where conceptions of the doctoral relationship are often underpinned by the, commonly uncontested, view that the doctorate is a linear pathway, defined by fixed processes and expectations, and that submission of the thesis signifies a distinct end-point for supervisor and doctoral candidate. The conception of a doctorate as a trajectory with a finite ending is also often understood as the 'arrival' of the doctoral candidate as a member of the academy (Keefer, 2015), and the development of the candidate's academic identity (Jazvac-Martek, 2009). Within such conceptions, the supervisor occupies the role of expert, and as Petersen (2007, p. 483) explains, is understood as '*the all powerful category boundary maintainer, the gatekeeper, the judging eye.*' These kinds of assumptions often underpin widely-used university supervisory guidelines.

However, in this chapter, we draw upon our own reflections following a recent supervision experience in the context of a Prospective PhD by Publication. These reflections are surfaced via a concept-map-mediated collaborative autoethnography between colleagues forming a doctoral candidate/supervisor relationship. Additionally, we engage a breadth of theoretical concepts. In so doing, we seek to problematise common representations of doctoral supervision, their applicability to the context of PhD by publication, and their prevalence to our understanding of wider notions of learning and change. We interrogate the potential for fluid and non-hierarchical identities, as well as reconceptualising supervision as a mutual process of becoming that jars uncomfortably with commonly-espoused linear trajectories.

We also discuss the common dichotomies and challenges represented within supervisory relationships; instead, we explore mutual learning and the values and perspectives that afford such mutual learning, including trust, vulnerability, and openness. We consider how these values can be enacted and how more affirmative relationships might be able to develop and thrive. Such a rethinking is exciting. We contend that such a perspective offers openings to reimagine the supervisory relationship entirely, as well as to explore how academics might develop more meaningful relationships in higher education, and rethink fixed and limiting ideas around identity. Ultimately, we suggest that both supervisor and doctoral candidate can be understood as in process, as experiencing ongoing becomings, and as transitioning throughout a doctorate and beyond.

Conceptualising Supervisory Relationships: Fixed or Fluid Roles?

Approaches to conceptualising the nature of the supervisor/doctoral candidate relationship typically focus on the role and identity of the candidate rather than the supervisor. For this reason, greater consideration is often given to the ways in which doctoral candidates are positioned and how this position may change throughout the course of a doctorate, whilst the potential changes experienced by the supervisor are largely ignored, with the tacit assumption that having 'reached' expert status, there is little room for transformation or change to their own identities and roles (Wisker & Robinson, 2016). This may reflect a belief that there are no marked differences between the supervisory dynamics in these different situations. This is limiting in terms of understanding supervision within a traditional doctoral route, but becomes particularly problematic for a PhD by publication, which is likely to include greater collaboration and opportunities for co-authorship, as well as potentially to be taken up by candidates who already have research experience.

General conceptions of relationships in PhD supervision often employ metaphors in an attempt to represent what are often complex and nuanced relational dynamics, including depictions of the roles of those in the relationship as coaches, masters, slaves, fathers, midwives and gardeners, to name just a few (Lee & Green, 2009). Metaphorical concepts are also used to represent the troubling nature of the process for doctoral candidates, where '*the landscape of supervision is populated with bridges, chasms, mountains and archways, and traversed by a plenitude of journeys, punctuated by juggling and balancing, marked by rites and rituals, and filled with darkness and light*' (Lee & Green, 2009, p. 617). Whilst some doctoral candidates may indeed experience these kinds of challenges, such metaphors homogenise the experience of candidates, constraining their identities within spatial tropes of pathways and trajectories, and evoking images of linearity and conformity. In addition, they crucially fail to recognise that it is not just the doctoral candidate who may experience such troubles and transformations. Through the process of supervision, supervisors themselves, we suggest, are also likely to find themselves evolving and in flux.

Failure to consider the multiple and complex ways in which all those involved in supervisory relationships are impacted by the process also serves to reinforce binary roles and responsibilities in doctoral supervision. For example, in an exploration of archetypal metaphors in doctoral supervision, Lee and Green (2009) discuss three dominant models of the relationship that all position doctoral candidates and their supervisors in qualitatively distinct roles characterised by power asymmetry. The metaphor of *discipleship* places the candidate in a subservient role where they are transformed into a new being by following a 'guru' figure who facilitates initiation into a new, emergent role. Similarly, the metaphor of *apprenticeship* situates the candidate as a novice, and the supervisor their master. Because of their prowess and expertise, the expert socialises the novice to take on greater levels of expertise as they traverse the doctoral process. Even the *authorship* metaphor valorises the role

of doctoral candidates in coming to 'own' their work, as if that work was not theirs from the outset of the process.

This positioning of the doctoral candidate enlarges the gulf between them and their supervisors. This kind of segmented approach to roles and identities '*means using clear symbolic markers to cue respective role identities and role behaviours…there is little 'role blurring', and boundary crossing often involves rites of passage*' (Benmore, 2016, p. 1253). For the candidate navigating these rites of passage, there is a need to traverse a series of role transitions, which are unlikely to unfold in a universal linear process for each and every candidate. Benmore (2016) speaks of the '*inevitable*' changes in identity experienced by doctoral candidates, to facilitate '*coming to be an academic*' and '*the development of academic autonomy: increasingly taking control over the content and direction of their work*' (p. 1255). In the case of a PhD by Publication, the candidate may already be an academic, and may already be fully autonomous in their work. What, then, is the role of supervision in this context, and how might supervisors experience role transitions and changes to their identity?

Other explorations of the ways in which roles and identities are conceptualised in doctoral supervision raise important questions about the applicability to the Prospective PhD by Publication, and about the fitness for purpose of such assumptions more generally. Halse and Bansel (2012) conducted a thematic analysis of the representation of supervision within 450 publications on this topic. As well as identifying an apprenticeship paradigm, they also discuss the presence within the literature of a person-centred paradigm of supervision. One notable feature of this latter paradigm is the focus on attempts to identify the attributes of effective supervisors, which are then enshrined in policy and 'best practice' representations of supervision that attempt to distil the steps an individual needs to follow to be an 'effective' supervisor. This suggests that what makes an effective supervisor in one situation may be similar to that in another, and that there a fixed set of traits and skills that, once mastered, represent the pinnacle of practice. Once again, this indicates that supervisors develop and change by taking on board a prescriptive set of guidelines, diminishing the potential for supervisors to be transformed through the process of supervision itself. As argued by Halse and Bansel (2012, p. 380), '*lists and categories of supervisor attributes, roles and styles are invariably idiosyncratic, oversimplify the complexity of supervision, and sidestep the fact that a supervisor takes up multiple roles in any single interaction with a student and that the supervisor's roles and practices change throughout the student's candidature*'. Moreover, such attempts to describe learning interactions as homogeneous and replicable overlooks the way that social and power relations permeate all relationships. Manathunga (2019) explores the importance of understanding how learning is experienced differently by candidates from diverse backgrounds such as different genders, classes and ethnicities. Manathunga (2019, p. 1227) argues for a reconceptualization of students' doctoral experiences in order to create space for individuals' '*epistemic, lived and eternal temporal rhythms*'.

These somewhat narrow representations are maintained and reinforced by wider cultural and policy influences. Lee and Green (2009) argue that the importance of

'education' in PhD degrees is overtaken by emphasis on research and management agendas. Furthermore, Halse and Bansel (2012) point out that in many contemporary higher education contexts emphasis is placed on the scientific-technical metrics of success in supervision (such as recruitment, progression, and completion indicators) because of the rise in new public management cultures that prize accountability and quality assurance agendas. Likewise, Manathunga (2019, p. 1230) contends that often what counts is '*how fast candidates can be churned through the doctoral education system*,' and that '*there is a need for the fast-paced contemporary world, demanding of outcomes but not allowing any intellectual nourishment to be input, to recede into the background of doctoral candidates lives*' (2019, p. 1236). Halse and Bansel (2012) argue for the importance of seeing supervision as a '*learning alliance*', '*the implicit agreement of each student, supervisor and university that they are jointly responsible for ensuring a fruitful doctoral experience and a high quality doctoral degree*' (p. 384). The concept of the 'learning alliance' brings to the fore the responsibility of a wider network of actors beyond the supervisor and student themselves. It also aligns with approaches to learning and development that place emphasis on relational dimensions, connections and collaboration (e.g. Gravett & Winstone, 2020).

Recent years have witnessed calls for more fluid conceptualisations that question the traditional hierarchical positioning of supervisor and doctoral candidate. In a similar vein to Halse and Bansel (2012), Fullagar et al. (2017) reframe doctoral supervision as a 'learning alliance', where both supervisor and candidate '*learn and unlearn, engage in knowing and importantly unknowing as an on-going process*' (Fullagar et al., 2017, p. 6). Gravett (2021, p. 10) seeks '*to foreground the tentacular, immersive, and rhizomatic nature of doctoral study*', and, likewise, Guerin (2013, p. 138) examines a new space for supervisory relationships as '*rhizomatic academic networks*'. Importantly, Guerin contends that '*the principles of connection, heterogeneity, and multiplicity encountered in today's rhizomatic academic networks are central to understanding what kinds of research and researchers will be needed by the academy*' (p. 138), suggesting that less hierarchical relations may lead to the creation of research and researchers that are likely to be valued by the complex and diverse research environments of the contemporary academy. Another possible further implication may be that less hierarchical relationships offer spaces to be more joyful, affirmative and creative.

Engaging Theory

In order to offer a rethinking of doctoral supervision we engage a breadth of theoretical concepts which we suggest offer opportunities for thinking differently about both learning and change in higher education. The first is Deleuze and Guattari's (1987) notion of becoming. For Deleuze and Guattari, '*a line of becoming has neither beginning nor end, departure nor arrival origin nor destination*' (Deleuze & Guattari, 1987, pp. 341–342). Becomings are evolving and fluid, rhizomatic, and

continuous. This concept clearly has significant potential to support understanding of learning and change. We then move to consider Rosi Braidotti's concepts of process ontology and nomadism (2006, 2018). Braidotti's work can be seen as indebted to Deleuze and Guattari (1987), who also play with the idea of nomadic subjects. Braidotti explains that her use of nomadism continues Deleuze and Guattari's concept of becoming, which evokes the idea that, as nomadic subjects we are always in a state of flux. Braidotti examines a rethinking of subjectivity '*as a complex and open-ended set of relations*' (2006, p. 197). Subjects exist in process. Braidotti plays with these concepts of nomadism, multiplicities and displaced identities. She asks what if '*non-linearity, non-fixity and non-unitary subjectivity*' are the forms of subjectivity '*that have simply shrugged off the shadow of binary logic and negativity...The process of transformation of the subject goes on and we need process ontology to provide adequate accounts of it*' (2006, pp. 201–205). Crucially, process ontology or nomadism, she suggests, enables us space to make '*room for more affirmative forces*' (2006, p. 206).

And yet, normative conceptions of the supervisory relationship often rely on the kinds of binary logic Braidotti denounces: master/apprentice, expert/novice; academic/student. A reconceptualization of learning as ongoing refuses hierarchical binaries and unsettles the constructions of discrete and fixed researcher and academic identities. This focus on becoming as a learning process also reflects the work of Biesta (2005, p. 62):

> Rather than seeing learning as the attempt to acquire, to master, to internalise, and what other possessive metaphors we can think of, we can also see learning as a reaction to a disturbance, as an attempt to reorganise or reintegrate as a result of disintegration.

Returning to the context of PhD supervision, learning may not be seen as a form of acquisition (of information or of expertise), but as our reactions to being exposed to alternative viewpoints that may be unsettling to our established world views, and a challenge to our established expertise and the ways in which it has been constructed. Evidently these concepts are antithetical to the notion of a linear pathway and unsettle the dichotomies that underscore the assumptions regarding doctoral study. Instead, identities are understood as nomadic: always in process, always evolving in rhizomatic, irregular, directions.

Interrogating Fixed Identities

How do these concepts apply to the lived experiences of those involved in doctoral candidacy and supervision, particularly in the case of PhD by Publication? Through critical dialogue based on mutual trust and openness, we sought to interrogate our recent experiences as a group of three colleagues engaged in a doctoral candidate/supervisor relationship. Through surfacing and reflecting upon the process as seen through our individual viewpoints, we asked the following: (1) to what extent do we see evidence of rhizomatic, non-linear processes of becoming on the part of both

supervisors and the candidate; (2) Looking beyond binary conceptions of roles and identities in doctoral supervision and the role of the learner, what do our experiences portray about the ongoing development of both candidates and supervisors?

Method

Concept Map-Mediated Reflections

In order to interrogate our own understandings of the supervision process, the method we have adopted in this project is an adaptation of the concept map-mediated interview (as detailed by Kandiko Howson & Kinchin, 2014). Here, the interviewee surfaces his/her knowledge structure during the interview through the concept map that emerges within the dialogue between the interviewer and interviewee (e.g. Heron et al., 2018). During this process, one author (IK) positioned concepts on the computer screen as they emerged in the conversation. Links were proposed by all authors, and the discussion invited challenge and amendments to the words used and the positions given to each of the concepts and the links. This process continued until all authors were happy with the representation (Fig. 7.1). This mapping has been shown to offer a helpful frame for subsequent autoethnographic reflections (e.g., Kinchin & Winstone, 2018). In this study, the map created by the three authors (Fig. 7.1) then acted as a prompt for our emerging narratives and is offered here as

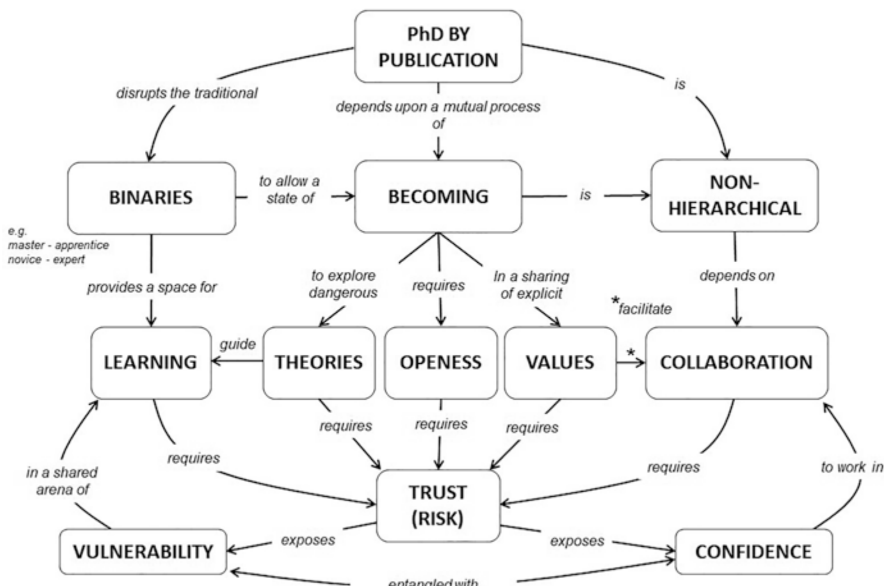

Fig. 7.1 A concept map of the key ideas presented within this chapter

an artefact to emphasise the links between some of the concepts to be explored. Engaging Deleuze and Guattari's (1987) concept of becoming, we use a concept map to surface and challenge our own evolving becomings during the supervisory process.

The limits of a static representation should be acknowledged, but we suggest that this map offers a Deleuzian 'tracing' that academics may overlay onto their own developing narrative of professional practice. The figure is, therefore, a useful artefact to help communicate a complex idea, and to support development of personal professional narratives and dialogues with peers. This places colleagues as nomadic subjects, as they are perpetually in motion, in transition, and in relation, which shifts our analysis from the fixity of *being*, to the dynamic narratives of *becoming* in higher education (Guyotte et al., 2021). This builds on Cristancho and Fenwick's (2015) depiction of professional becoming, and revises our perception of university teachers from the static portrayal of experts, towards a more dynamic view in which '*becoming is a continuous emergent condition. It is often a process of struggle, and is always interminably linked to its environs and relationships*' (Cristancho & Fenwick, 2015, p. 128).

Collaborative Auto-ethnography

Autoethnography seeks to make relevant those aspects of being that are typically suppressed by analytic strategies which '*draw a veil of silence*' around emotions and human factors that would otherwise be bracketed out of the research process (Davies & Gannon, 2006). To develop a research framework for education practitioners, Acosta et al. (2015) have drawn from analytic (Anderson, 2006) and collaborative (Chang et al., 2013) autoethnography in order to maximise rigor and trustworthiness of studies. The work presented here aligns with this framework. It exhibits the three characteristics of analytical autoethnography listed by Anderson (2006) to maximise methodological transparency. That the autoethnographer is:

1. A full member of the research setting.
2. Appears as a co-author of the published text.
3. Committed to an analytical research agenda.

Additionally, collaborative autoethnography (Chang et al., 2013) supports a dialogic, interactive process in which the researcher discusses and interrogates findings as a form of triangulation. Acosta et al. (2015, p. 4), therefore, define their framework for collaborative and analytic autoethnography (CAAE) as:

> a form of scientific enquiry where practitioner-researchers investigate the contextualised self and Other via personalised narratives, self-reflection and dialogic discussions; and connect their new knowledge to socio-economic, cultural and political determinants of individual and group beliefs, values, attitudes and behaviours.

We found CAAE to be a helpful approach to exploring roles and identities in the Prospective PhD by Publication context.

Dialogue

After an initial discussion and mapping of the subject (Fig. 7.1), each of the authors wrote the following reflections, in order to examine further the key ideas surfaced within the concept map. We then shared and read through each of our reflections, discussing these together, to further reflect upon and surface common ideas and values. These reflective narratives are now incorporated below.

Ian

While the PhD that is the focus of this chapter was undoubtedly 'owned' by one of us (Gravett, 2020), it was much more than the research output of a doctoral candidate. The PhD was an arena for collaborative enquiry. A point of connection between literature, research questions, methods and results (as any PhD has to be), but also a point of overlap between the complementary learning assemblages of three colleagues. We were each learning different things and starting from different points of origin. Karen (as the PhD student) was, in some respects, the novice, for example in terms of experience of academic publishing. But in other respects, Karen was the expert in the team – in terms of her knowledge and understanding of the literature on posthumanist theories. This was critical for this thesis as it was theory-led rather than methods-led. There was a tacit appreciation of this at the outset that required each of us to be open about our points of ignorance, and an implicit trust among us that we would be mutually supportive during the life of the doctorate. Each of us had to have trust in the expertise of the others so that we could enter into a mutual state of becoming. It was not just Karen who was the learner in the endeavour, we were all being challenged in a way that required us to accept a role as 'student', even if we were designated as 'supervisor'. The non-hierarchical nature of our shifting roles, and the rhizomatic nature of the work meant that the official end of the PhD (the viva) was not the end of the learning process, not because of any contractual obligation to the institution, but because we found ourselves learning for the pleasure of the process. The reading that I was undertaking at the outset of the PhD in order to keep up with Karen (e.g. Deleuze & Guattari, 1987), became reading that was challenging aspects of my own research history (e.g. Kinchin & Gravett, 2020), and changed the trajectory of my own research agenda (Kinchin, 2020).

Naomi

Many models of doctoral supervision position individuals in the relationship as holding particular roles and responsibilities, regardless of whether these individuals inhabit these particular identities. Expert and novice, leader and disciple, master and apprentice: these binary relationships call supervisors to act as those with power and responsibility, and call the doctoral candidate to adopt a somewhat more subservient

role. Furthermore, the hierarchical power relationships inherent to these structures place emphasis on the supervisor as directing the journey of the doctoral candidate, as if the latter were merely a *tabula rasa* primed to absorb the expertise and wisdom of the more experienced supervisor, emerging at the end of the process as a fully-formed independent scholar. These models of doctoral supervision may be problematic for traditional doctorates but are particularly so for the case of a PhD by Publication.

For this PhD by Publication, we were colleagues first and supervisors/doctoral candidate second. Working together in a small and extremely collegiate department characterised by a non-hierarchical structure, to re-position ourselves into fixed roles as per an expert/novice distinction would have been false and would have led to mutual discomfort. This would also have been inauthentic in recognising the existing experience and expertise of the candidate. Whilst the aim of a doctorate is often described as producing an autonomous scholar (e.g. Johnson et al., 2000), in our situation the candidate was already a talented, independent academic, as is often the case in PhD by Publication situations.

As a team, we naturally resisted such fixed roles and responsibilities. From the start, the process felt like a mutual research collaboration rather than a supervisor/doctoral candidate relationship. Identities shifted and developed, which facilitated natural learning and co-creation rather than direction or leadership. Doctoral supervision has been described as a training exercise (Acker et al., 1994); the creation of a collaborative space moved our relationships away from training to one of mutual exploration of new ideas and methods. In this sense, then, the relationship more closely reflected a 'learning alliance' (Halse & Bansel, 2012) rather than a hierarchical positioning characterised by differing levels of 'expertise'. Of course, this was critically dependent on trust, and our conversations were built on principles of total transparency and honesty when sharing perspectives. Trust and transparency were also important when as supervisors we were called upon to provide guidance on the PhD process; whilst we could provide our views and perspectives, these were put on the table as ideas and suggestions, with shared agency for decision-making. Trust and transparency were also important for each of us in navigating our own journey through the process. Coming from a positivist tradition, many of the theories, concepts, and methods that were core to the thesis were new to me, and naturally created tensions with my own background and training. Without the strength and safety of the 'learning alliance', and a willingness to expose myself to discomfort, this could have led to my resistance to ideas and approaches that were so far removed from my own scholarly background. However, our learning alliance had formed an unspoken commitment to learning from each other, and I can remember several 'aha' moments where the candidate guided me towards learning new ideas and perspectives. These experiences acted as 'disorienting dilemmas' which, in transformative learning theory, catalyse learning and development (Mezirow, 1997). I believe that traditional models, such as the expert/novice distinction, would have positioned me in a role where I would feel compelled to resist such transformative experiences, instead feeling that it should be me opening the eyes of my student to new ideas and perspectives, rather than the other way around.

Finally, trust is in my view fundamental to the PhD by Publication environment because whilst many candidates in traditional PhD routes may publish their work as they progress through the PhD, peer review and the publication process is fundamental to those pursing the PhD by Publication route. This opens up more space for ‘intellectual candour’, whereby sharing vulnerabilities and weaknesses can create an opportune space for the growth of trust and transformative learning (Molloy & Bearman, 2019). Publication was a shared endeavour in which we were all invested, and we had many conversations about our scholarly failures as well as successes. Molloy and Bearman draw upon Goffman’s work on ‘face’ to bring to the fore the challenges of navigating the tension between vulnerability and credibility. They argue that by seeking to maintain credibility and ‘save face’, interactions become scripted and ritualised. In supervision, seeking to maintain the mask of expertise is also likely to create a restricted learning environment where knowledge and learning flows in a single direction. Instead, by displaying vulnerability and demonstrating a commitment to openness and mutual learning, the learning environment is characterised by bi-directional sharing of insights and, ultimately, transformative learning for all those involved.

Karen

The Prospective PhD by Publication route was extremely generative for me. Its disrupted format of a collated group of publications, that were themselves each the outputs of separate but interconnected projects, meant that there existed space for a multiple of opportunities for new ideas, directions and collaborations. This meant that the thesis itself became a powerful actor within the supervisory relationship. It offered me the opportunity to try out new ideas and be braver than I believe a conventional monograph would have done. As a result, I was able to approach my supervisors and suggest new directions, new literature, new theories or ideas for each of the individual projects. We then tried these new directions together; for example, a paper using rhizomatic analysis, a story completion method, or the concept mapping of institutional leaders. The opportunities of this route are also examined by O’Keeffe who writes that there is potential for the PhD by published works approach to ‘*change what it is to be a PhD student, and what it is to complete PhD research*’ (O’Keeffe, 2020, p. 288). This is powerful. However, the possibilities afforded to me by this genre of thesis were complemented entirely by the values that underpinned my relationships with my two supervisors. Values of experimentation, vulnerability, partnership, openness to taking risk and mutual trust enabled us to work collegially and to disrupt the boundaries of what might be achieved in educational research. So, for me it was a combination of the values of those individuals, and the affordances of the doctoral route we embarked upon, that enabled such a generative supervision partnership to develop. We are also still writing and working together which meant that the thesis has become just one aspect of the learning relationship.

Evidently, then, the 'success' of our working relationships involved a mixture of the professional and the personal. Prior to commencing my study, others cautioned me about working so closely with colleagues and about the blurring of supervisor/colleague/friend boundaries. However, my own view is that a risk is inherent within any working relationship, and also that boundaries are themselves artificial and that they can constrain both thinking and practice. Clear distinctions between teacher/student and self/other have been critiqued in recent work by posthuman scholars (e.g., Taylor & Fairchild, 2020). Indeed, Taylor and Fairchild (2020, p. 524) explore how an affirmative refusal of professional/personal boundaries '*might be a way to reinvigorate more material, ecological and sustainable modes of social justice at the heart of educational institutions*'. Above all, what my doctoral experience has shown me is that all practices are open to critique and that all binary distinctions potentially of limited use. These are radical and exciting ideas, I think.

Insights and Implications

In this chapter, we have problematised some of the well-worn assumptions, and the pervasive use of metaphors and binaries, in reference to doctoral supervision and study. Via an autoethnographic approach, we have examined our own experiences in order to propose a move towards the recognition of multiplicities – in terms of roles, relationships, and responsibilities. Engaging theoretical concepts from posthumanist and poststructuralist theorists we have explored what a more nomadic conception of subjectivity and learning might mean for understanding the PhD by Publication, and also for understanding doctoral supervision and learning more widely.

Through our reflections, we first sought to explore the potential for doctoral supervision, particularly in the case of the PhD by Publication, to afford rhizomatic processes of becoming for both the doctoral candidate and supervisors. The ways in which doctoral candidates develop throughout the process are frequently discussed (e.g., Benmore, 2016), and Karen reflects on the generative nature of the process for her as the doctoral candidate. However, in discussions of PhD supervision, the potential for the process to be transformative for supervisors is often overlooked. In a collaborative approach, such as that described by both Ian and Naomi, as supervisors, it was clear that the process led them to develop in unexpected ways. Ian speaks of the new ideas and literature he was exposed to through supervising Karen that took his own research in new directions. For Naomi, the process opened up new ways of thinking (described as 'aha moments'), that also called into question her existing assumptions and beliefs. Far from being a linear process, she describes these moments as 'disorienting dilemmas' drawing upon transformative learning theory (Mezirow, 1997) to reflect upon the impact of these disruptions. Whilst it is of course likely that supervisors may be exposed to new ideas or directions in more traditional representations of the supervisory relationship, without recognising the potential for mutual processes of becoming, these moments may not be surfaced and explored, which may in turn minimise their impact. It may be beneficial for

those inhabiting roles as supervisors to actively consider their own learning and development through engaging in supervision processes, and to share these insights with those whom they supervise.

Second, we sought to look beyond common binary roles and responsibilities in doctoral supervision, such as expert/novice and disciple/follower. Ian starts his reflection by describing the process as one of 'collaborative enquiry'; similarly, Naomi refers to the 'mutual research collaboration' between candidate and supervisors. Of course, even in a research collaboration consisting of experienced scholars, individuals often assume particular roles and responsibilities. However, what differs between the traditional candidate/supervisor relationship and this notion of a research collaboration is that in the latter, those roles and responsibilities can be negotiated, and can change and evolve rather than being predetermined and static. All three reflections revealed a disruption of traditional, hierarchical, notions of expertise. Ian recognised Karen as an expert in some areas, and Naomi expressed discomfort about the notion of autonomy as a scholar as the end point of the doctoral process, instead seeing Karen as an autonomous academic from the outset.

In all three reflections there was evidence of the importance of shared values and trust in facilitating both mutual becoming and the disruption of common doctoral dichotomies. The process of becoming, for both supervisors and the doctoral candidate, requires an openness to admitting that there are things that are unknown, and a willingness to demonstrate vulnerability and engage in collaborative learning. Naomi describes how the 'aha moments' she experienced would not have been possible had she felt compelled to maintain 'the mask of expertise'; in a traditional expert/novice model of supervision, those acting as supervisors may feel compelled to portray themselves as an all-knowing scholar. By relinquishing this compulsion, identities and roles become more fluid with the potential for the process to be more generative and transformative for all those involved. Trust appears to be a crucial part of this process, which suggests that rather than seeing effective supervision as complying with prescriptive lists of best practices (as represented in the person-centred model described by Halse & Bansel, 2012), meaningful supervisory relationships are likely to be facilitated by surfacing and discussing shared values and building trust and openness amongst all those involved.

In his autoethnographic article, exploring his own doctoral experiences, O'Keeffe contends that the PhD by Publication offers interesting potential '*to change what it is to be a PhD student, and what it is to complete PhD research*' (O'Keeffe, 2020, p. 288). In this chapter, we too contend that the PhD by Publication offers scope to rethink what it is to be a PhD student. However, we also believe that it may be time to rethink what it is to supervise all PhD research, indeed, to rethink our broader assumptions about learning and development. If we consider our identities as evolving, becoming, and in process, and learning and change as ongoing, processual, and rhizomatic, what impact might this have? Such a frame, and the understanding that becoming is experienced by all involved in the learning relationship, speaks back to a higher education marketplace of fixed outcomes, clear trajectories and binary supervisor/candidate relationships founded on hierarchical conceptions of expertise. We therefore suggest that by disrupting the dichotomies that underpin doctoral

supervision, we can expand the lens to include a greater multiplicity of actors, including focusing our attention on the learning and transitions of supervisors, and even considering the role non-human actors play, for example the thesis text itself, as discussed by Karen in her reflection.

Our data also surfaced the role of relationships within the supervisory process and key concepts of vulnerability, openness and trust. Within this PhD by Publication experience, altered relationships, and an understanding of both supervisor and students' ongoing development, offered new spaces for these values to be enacted more authentically. This provided a space for connection for all involved, which enabled both successful outcomes and spaces for growth and creativity, resonating with Braidotti's suggestion that process ontology may offer openings to make '*room for more affirmative forces*' (2006, p. 206). In a sector increasingly constrained by the pressures of marketisation and performativity, we believe that increased opportunities for creative and affirmative connections can only be a good thing.

Conclusion

This chapter has explored the fluidity and complexity of roles and identities in the context of the Prospective PhD by Publication. Changes within the doctoral landscape, such as an increasing variety of routes to achieving a doctorate, including the Prospective PhD by Publication which provides opportunities for departure from the traditional thesis-based doctoral programme reflect a rapidly changing sector, as explored within this book. In this chapter, we have engaged theory, and employed a concept map-mediated autoethnographic method to explore and question the limits of linear narratives and binaries that underpin how we think about and understand learning. We suggest that this questioning enables us to go beyond a rethinking of the Prospective PhD by Publication and to rethink our assumptions about doctoral study, learning and change more broadly. Crucially, we have been able to explore how new and more affirmative working relationships might find spaces to develop, enabling research to be a rich source of creativity, pleasure and ongoing development.

Takeaway for PhD by Publication supervisors:
The dichotomous view of supervisors as experts and PhD candidates as novices may not apply to the PhD by Publication model of supervision. When supervising PhD by Publication candidates, the supervisor-supervisee relationship is more fluid and complex, with opportunities for both supervisors and supervisees to learn from each other and grow professionally.

Takeaway for PhD by Publication candidates:
PhD by Publication candidates are often experienced practitioners or researchers who seek official endorsement of their scholarly work. They possess expertise and experiences which may not be shared by their supervisors. PhD by Publication candidates are advised to engage in constant, open, and professional dialogues with their supervisors about their plans and goals.

References

Acker, S., Hill, T., & Black, E. (1994). Thesis supervision in the social sciences: Managed or negotiated? *Higher Education, 28*(4), 483–498.

Acosta, S., Goltz, H. H., & Goodson, P. (2015). Autoethnography in action research for health education practitioners. *Action Research, 13*(4), 411–431. https://doi.org/10.1177/1476750315573589

Anderson, L. (2006). Analytic autoethnography. *Journal of Contemporary Ethnography, 35*, 373–395. https://doi.org/10.1177/0891241605280449

Benmore, A. (2016). Boundary management in doctoral supervision: How supervisors negotiate roles and role transitions throughout the supervisory journey. *Studies in Higher Education, 41*(7), 1251–1264. https://doi.org/10.1080/03075079.2014.967203

Biesta, G. (2005). Against learning: Reclaiming a language for education in an age of learning. *Nordisk Pedagogik, 25*, 54–66.

Braidotti, R. (2006). Posthuman, all too human: Towards a new process ontology. *Theory, Culture & Society, 23*(7–8), 197–208. https://doi.org/10.1177/2F0263276406069232

Braidotti, R. (2018). Foreword. In V. Bozalek, R. Braidotti, T. Shefer, & M. Zembylas (Eds.), *Socially just pedagogies: Posthumanist, feminist and materialist perspectives in higher education* (pp. xiii–xxvii). Bloomsbury.

Chang, H., Ngunjiri, F. W., & Hernandez, K. C. (2013). *Collaborative autoethnography*. Routledge.

Cristancho, S., & Fenwick, T. (2015). Mapping a surgeon's becoming with Deleuze. *Medical Humanities, 41*(2), 128–135. https://doi.org/10.1136/medhum-2015-010735

Davies, B., & Gannon, S. (Eds.). (2006). *Doing collective biography*. OUP.

Deleuze, G., & Guattari, F. (1987). *A thousand plateaus: Capitalism and schizophrenia*. Continuum.

Fullagar, S., Pavlidis, A., & Stadler, R. (2017). Critical moments of (un)doing doctoral supervision: Collaborative writing as Rhizomatic practice. *Knowledge Cultures, 1*(4), 23–41.

Gravett, K. (2020). *Re-imagining students' becomings: New approaches to thinking and doing transition.* PhD thesis, University of Surrey. Available online at: http://epubs.surrey.ac.uk/856603/

Gravett, K. (2021). Disrupting the doctoral journey: Re-imagining doctoral pedagogies and temporal practices in higher education. *Teaching in Higher Education, 26*(3), 293-305. https://doi.org/10.1080/13562517.2020.1853694

Gravett, K., & Winstone, N. E. (2022). Making connections: Authenticity and alienation within students' relationships in higher education. *Higher Education Research and Development*, *41*(2), 360-374. https://doi.org/10.1080/07294360.2020.1842335.

Guerin, C. (2013). Rhizomatic research cultures, writing groups and academic researcher identities. *International Journal of Doctoral Studies, 8*, 137–150. https://doi.org/10.28945/1897

Guyotte, K. W., Flint, M. A., & Latopolski, K. S. (2021). Cartographies of belonging: Mapping nomadic narratives of first-year students. *Critical Studies in Education, 62*(5), 543-558. https://doi.org/10.1080/17508487.2019.1657160

Halse, C., & Bansel, P. (2012). The learning alliance: Ethics in doctoral supervision. *Oxford Review of Education, 38*(4), 377–392. https://doi.org/10.1080/03054985.2012.706219

Heron, M., Kinchin, I. M., & Medland, E. (2018). Interview talk and the co-construction of concept maps. *Educational Research, 60*(4), 373–389. https://doi.org/10.1080/00131881.2018.1522963

Jazvac-Martek, M. (2009). Oscillating role identities: The academic experiences of education doctoral students. *Innovations in Education and Teaching International, 46*, 253–264. https://doi.org/10.1080/14703290903068862

Johnson, L., Lee, A., & Green, B. (2000). The PhD and the autonomous self: Gender, rationality and postgraduate pedagogy. *Studies in Higher Education, 25*(2), 135–147. https://doi.org/10.1080/713696141

Kandiko Howson, C. B., & Kinchin, I. M. (2014). Mapping the doctorate: A longitudinal study of PhD students and their supervisors. In L. Shedletsky & J. S. Beaudry (Eds.), *Cases on teaching critical thinking through visual representation strategies* (pp. 445–464). IGI Global.

Keefer, J. M. (2015). Experiencing doctoral liminality as a conceptual threshold and how supervisors can use it. *Innovations in Education and Teaching International, 52*(1), 17–28. https://doi.org/10.1080/14703297.2014.981839

Kinchin, I. M. (2020). *Concept mapping and pedagogic health in higher education (a rhizomatic exploration in eight plateaus).* DLitt thesis, University of Surrey. Available online at: https://epubs.surrey.ac.uk/858777/

Kinchin, I. M., & Gravett, K. (2020). Concept mapping in the age of Deleuze: Fresh perspectives and new challenges. *Education Sciences, 10*(3), 82. https://doi.org/10.3390/educsci10030082

Kinchin, I. M., & Winstone, N. E. (Eds.). (2018). *Exploring pedagogic frailty and resilience: Case studies of academic narrative*. Brill/Sense.

Lee, A., & Green, B. (2009). Supervision as metaphor. *Studies in Higher Education, 34*(6), 615–630. https://doi.org/10.1080/03075070802597168

Manathunga, C. (2019). 'Timescapes' in doctoral education: The politics of temporal equity in higher education. *Higher Education Research and Development, 38*(6), 1227–1239. https://doi.org/10.1080/07294360.2019.1629880

Mezirow, J. (1997). Transformative learning: Theory to practice. In *New directions for adult and continuing education* (Vol. 74, pp. 5–12). Jossey-Bass.

Molloy, E., & Bearman, M. (2019). Embracing the tension between vulnerability and credibility: 'Intellectual candour' in health professions education. *Medical Education, 53*(1), 32–41. https://doi.org/10.1111/medu.13649

O'Keeffe, P. (2020). PhD by publication: Innovative approach to social science research, or operationalisation of the doctoral student … or both? *Higher Education Research and Development, 39*(2), 288–301. https://doi.org/10.1080/07294360.2019.1666258

Petersen, E. B. (2007). Negotiating academicity: Postgraduate research supervision as category boundary work. *Studies in Higher Education, 32*(4), 475–487. https://doi.org/10.1080/03075070701476167

Taylor, C. A., & Fairchild, N. (2020). Towards a posthumanist institutional ethnography: Viscous matterings and gendered bodies. *Ethnography and Education, 15*(4), 509–527. https://doi.org/10.1080/17457823.2020.1735469

Wisker, G., & Robinson, G. (2016). Supervisor wellbeing and identity: Challenges and strategies. *International Journal for Researcher Development, 7*(2), 123–140. https://doi.org/10.1108/IJRD-03-2016-0006

Dr. Karen Gravett is a Senior Lecturer in Higher Education, in the Surrey Institute of Education at the University of Surrey. Karen's research focuses on student engagement, belonging and relational pedagogies. Karen is a Senior Fellow of the Higher Education Academy and co-convenor of the Society for Research in Higher Education Learning, Teaching and Assessment network.

Professor Ian Kinchin is Professor of Higher Education in the Surrey Institute of Education at the University of Surrey. His research looks at the nature of knowledge and understanding and the development of expertise. He has written over a hundred papers in Zoology, Science Education and Academic Development of University Teachers.

Professor Naomi Winstone is a Professor in Educational Psychology and Director of the Surrey Institute of Education at the University of Surrey. Naomi is a psychologist specialising in the cognitive processes underpinning processing and implementation of feedback. Naomi is a Principal Fellow of the Higher Education Academy and a UK National Teaching Fellow.

Chapter 8
Supervising Students Who Are Undertaking a Retrospective PhD by Publication

Susan Smith

Abstract This chapter explores the Retrospective PhD by Publication student supervision experience and supervisory practice through Brookfield's four lenses (Brookfield, Becoming a critically reflective teacher. Jossey-Bass, San Francisco, 1995). This reflective model, useful in Higher Education settings, (the autobiographical, the students' view, the colleagues' view and the theoretical view) explores consideration of an issue or situation from different vantage points. This chapter will utilise the reflective model and its associated vantage points to highlight key areas which need specific attention when undertaking a Retrospective PhD by Publication. For completeness, literature which represents Brookfield's (op. cit.) fourth theoretical lens is threaded through to enhance understanding and reflection. This approach will help create a holistic perspective of the issues and offer some key recommendations for focussed supervisory practice.

Introduction

The growing diversity of doctoral programmes in Higher Education contributes to knowledge and enhances original thought and innovation (Halse & Malfoy, 2010; Lee, 2010, 2011; Yazdani & Shokkoh, 2018). As the Retrospective PhD by Publication routes become more popular, we need a robust body of knowledgeable academic supervisors who understand the details and specific challenges of the route, the requirements for the award and how the approach for the viva voce examination needs to be tailored (Smith, 2017; Jackson, 2013). Kamler (2008) has emphasised that "skilled support from knowledgeable supervisors" is the key to having successful completions for this route and a good student experience. The QAA (2020) reiterate this in their latest doctoral degree guidance by stating how the candidate's relationship with their supervisory team is key to successful completion of a PhD by any route.

S. Smith (✉)
Leeds Beckett University, Leeds, UK
e-mail: S.V.Smith@leedsbeckett.ac.uk

© The Author(s), under exclusive license to Springer Nature Switzerland AG 2022
S. W. Chong, N. H. Johnson (eds.), *Landscapes and Narratives of PhD by Publication*, https://doi.org/10.1007/978-3-031-04895-1_8

The Retrospective PhD by Publication route is unique, and yet still not that well researched in its own right. It is an award, that allows candidates who have published a number of articles or artefacts in the public domain about a coherent subject theme, to explore through a submitted synthesis, the coherence, originality and contribution of their peer reviewed research work. It is distinctly different from the traditional prospective, thesis-based, PhD route. The Retrospective PhD by Publication PW route is valued as an inclusive route for atypical PhD candidates (Brown, 2018; Smith & Brown, 2019). This route can often accommodate creative work that has been presented in the public domain. It may also suit those entering academia from a professional background who may not have had the opportunity to do a traditional route and who may already have work in progress and in the public domain. To encourage new candidates for this award, they need to know that they will be well supported by supervisors who understand that the Retrospective PhD by Publication route is distinctly different from supervising the more common prospective, thesis-based PhD route with which they may often be more familiar.

There is still a relatively small pool of academic staff in institutions in the UK who are confident, experienced, and fully familiar with the requirements and challenges of this Retrospective PhD by Publication PW route (UKCGE, 2015). Specific models of supervision vary (QAA, 2020) and indeed the more the sector can build up internal supervisory expertise for this route, the more these staff will then be able to offer to assess candidates in viva examinations in external examining roles in other institutions. The more we can support, inform, and grow a critical mass of supervisors who understand this more unfamiliar PhD by PW route, the better.

The supervisory role for the Retrospective PhD by Publication route is *significantly different* from that of the traditional PhD route and should, like the awards not be conflated. Unlike the traditional, thesis writing, prospective PhD route which involves supporting students *during the process* of undertaking rigorous, high-quality research, the supervisor for the Retrospective PhD by Publication route usually only formally starts working with the PhD student when they already have a sufficient peer reviewed, coherent outputs (papers or other artefacts) in the public domain and are ready to register to begin on the final part of their award – the synthesis (the final reflective piece) – and prepare for their viva voce examination. The supervisors' main role for the Retrospective PhD by Publication award is to support and steer the student through the process of designing and drafting the synthesis (Smith, 2017) although very often they are involved informally in supporting potential candidates in selecting suitable publications and artefacts in the run up to formal registration for the award. Supervisory relationships for the Retrospective PhD by Publication feel different too- they are often shorter and feel more "equal" if the student is already an experienced researcher who primarily just needs advice on framing the coherence and originality of his/her work. In traditional representations of doctoral supervision, the relationship is conceptualised as hierarchical: master and apprentice; expert and novice; supervisor and student. Even in the case of more constructivist orientations which seek to position the process as more than the mere transmission of expertise, it is the student

who is positioned as the one who evolves, because of a rite of passage (e.g., Hughes & Tight (2013).

Recent years have witnessed calls for more fluid approaches that question such a hierarchical positioning for supervision and its relatively easy to see this in PhD by Publication supervisory relationships. For example, Fullagar et al. (2017) represent doctoral supervision as a 'learning alliance', where both the supervisor and student develop and learn. Supervisors of Retrospective PhD by Publication need to provide a flexible, first-class experience for their students, who may often, because of the award only being offered to internal staff employees, be supervisors' workplace academic colleague and thus the relationship can, and should, become even more collegiate and non-hierarchical. This chapter uses Brookfield's (1995) reflective model which explores the autobiographical, students', colleagues' and the theoretical lenses to explore the nature of PhD by PW student supervisory practice.

My Personal Experience as a PhD Supervisor

I have supervised many Retrospective PhD by Publication students (and indeed those doing the more common, but different, traditional PhD route). During the writing of my book on Retrospective PhD by Publication (Smith, 2015) and for subsequent papers (Smith, 2017) I kept a journal examining the joys and challenges of supervising this route. My own experience of being a supervisor to Retrospective PhD by Publication students (who were, of course, also academic staff) helped me uncover many assumptions and beliefs about how they best learn and progress. I found this approach a useful way to reveal aspects of my supervisory style and review how my own teaching and practice might need strengthening.

I will summarise six key points distilled from my journal of personal experiences as a supervisor of this Retrospective PhD by Publication route. Because there is a relatively small number of students undertaking this route compared to the traditional, thesis- based, prospective PhD route (UKCGE, 2015) it takes longer to build a robust cohort of students who have completed the process and to build a coherent picture of student feedback themes. Feedback and perspectives are institution specific and it is harder to draw together key coherent themes from a smaller sample. Because of the lack of critical mass of students, it is more difficult to drive changes to practice at a strategic level in the institution. That said, it is important to not disregard each student as an individual who will have specific areas to develop and things that they find difficult. In my experience, through my individual autobiographical lens, this mainly seems to be the art of identifying a coherent golden thread, identifying the contribution of the work overall and writing a synthesis or narrative commentary which demonstrates this effectively.

Lack of Formalised Communities of Practice Having such a small number of students per university undertaking this route, also often means that there is no established peer support networks or communities of practice for students to discuss

the "norms" and the challenges and thus the supervisor can often bear the brunt of the support. There is often little commonality between disciplines and it is hard to generate study groups or networks where the content may be so disparate.

Training and Support Because there is often little staff supervisory expertise in the institution for Retrospective PhD by Publication, institutions need some form of supervisory training which can be accessed for new Retrospective PhD by Publication supervisors to support consistency of advice and practice otherwise students are left feeling confused and unsettled (Lee, 2008) and the PhD supervisors themselves feel they are "working in the dark" (Smith, 2019). Online, accessible core modules for all research supervisors with specific provision for Retrospective PhD by Publication supervisory expertise needs to be offered. This could be online and resource-based to allow ease of access, reference material and would cater for small numbers.

It Seems a More Equal Relationship I have argued before (Smith, 2017) that in the case of supervising a student doing the Retrospective PhD by Publication route that the supervisory role feels much more of a mentoring relationship – the "student" is already well versed in research methodologies, analytical tools and are often already skilled academic writers so the key issue is making sure they understand how to design and execute the synthesis and feel prepared for the viva. I have also noted and reflected on the need to understand that you may be "supervising" experienced, eminent "students" with a long research career who also happen to be your university colleagues and the staff/student power balance feels much more equalised than that of the supervisor/student relationship on a traditional PhD programme. Kamler and Thompson (2008) have also noted the need to be less hierarchical in our views of transmission styles of doctoral supervision authority and point to alternate pedagogical approaches that position doctoral researchers as discursive colleagues "engaged in a shared, unequal, and changing practice (p. 507)".

Facilitating Critical Discussion About a Student's Research Outputs As with all supervision, I found a non-judgemental, non-patronising, supportive approach is essential. It may be very exposing for a colleague from a different discipline to explain their "golden thread" to you, and for you to facilitate critical discussion of outputs and synthesis content with someone who is an expert in their field. Unlike the traditional route, where a supervisor supports the student over a longer period as the student candidate writes a new thesis, the formal supervision of the Retrospective PhD by Publication route usually only lasts a year (after all the papers have been produced and are in the public domain) and is mainly focussed on advising on the process of synthesis writing and viva voce examination preparation focusing on the submitted works originality, contribution and coherence. It is important to take time during this intense period to understand the student's contribution and support them to feel that their peer reviewed research is valuable, and you can help them explain its strength and coherence.

Ensuring the Students Are Clear About the Process and Content of the Retrospective PhD by Publication Viva Voce Examination It is essential, so expectations are clear, to explain to the student that in the viva examination, they will have to summarise their research journey and illuminate the areas of originality, coherence and contribution (already in the synthesis) in an articulate way to the external examiners in the viva rather than just explain the different methodologies or paradigms of the separate outputs (QAA, 2018; UKCGE, 2015). I found this required tact, confidence, emotional intelligence and a facilitatory mentoring approach (Smith, 2019). Students are not examined on the specific content and methodology of each output (these have already been assessed for quality prior to publication through a rigorous peer review process). It is important to clarify the approach with the students ensuring they can explain the work's coherent key themes, future directions for research, limitations of the body of work, what they might have done differently and how their synthesised findings can be applied to other disciplines or adapted to impact on policy or practice.

Retrospective PhD by Publication: Views of Supervision from PhD Students Themselves

While the award itself and the supervisory experience of Retrospective PhD by Publication is not yet that well researched, there are some personal accounts in the research literature exploring the Retrospective PhD by Publication experience and discuss difficulties accessing supervisors and examiners familiar with the route (Chong, 2020). The findings of a survey of some Retrospective PhD by Publication students' experiences, reactions and behaviours undertaken are included in the reflective passages in my book (Smith, 2015). These findings are used to reveal some of the assumptions we might make about Retrospective PhD by Publication supervision and to try to uncover how best supervisors might encourage their PhD supervisees to learn. As with all excellent teaching practice, using cues and distilled information from student comments and feedback, can help inform practice and ultimately improve the students' learning experience through this more responsive teaching.

Commonly, the Retrospective PhD by Publication students themselves (usually internal staff with good knowledge and ability to interpret regulations and guidance) can find the requirements relating to publication/output numbers rather arbitrary and confusing (Chong, 2020) and rely on their supervisors to help them illuminate a golden thread and specifically help understand the appropriate number and type of publications/artefacts necessary to include in the submission.

Students and supervisors (Smith, 2017) complained of difficulty finding suitable supervisors, not knowing who to ask for informal mentoring prior to being accepted for the formal award at confirmation of registration. Other Retrospective PhD by Publication students complained about conflicting advice from informal mentors,

lack of experience and understanding of the numbers of outputs needed and confusing university processes and guidelines (Chong, 2020: Draper, 2019). Feeling good about a supervisory relationship is not always guaranteed.

One respondent in my Smith (2017) paper commented,

> I was allocated a supervisor who I didn't take to – they had little understanding of the PW route and didn't know how to help me look at my papers and help me feel confident that my work had a coherent thread. (p. 33)

Chong (2020) mentions how rewarding he found the process as a student and how he felt that the process of active facilitated reflective analysis with his supervisor provided a "valuable conduit" to consider the impact of his research and future research directions. Others, (Derounian, 2020) have talked positively about the benefits of the Retrospective PhD by Publication route as key to self-discovery and "personal stock taking" and are specifically grateful for the way their supervisors have helped them see their work more holistically and explore original new directions.

What Do the Retrospective PhD by Publication Supervisors Think?

Our supervisory peers and colleagues can highlight hidden habits in our supervision practice, and possibly provide innovative solutions. I sought opportunities to gain insight into the supervisory experience of Retrospective PhD by Publication by engaging in peer dialogue through interviews (Smith, 2015, 2017) and through informal conversation and emails with fellow PhD supervisory colleagues.

In the UK, when a student enrols for traditional, thesis based, PhD they are allocated a trained supervisory team (QAA, 2018) to support their research training and thesis writing up for the duration of their studies. The international supervisory system is largely consistent with this approach (Jackson, 2013). The supervisors for a traditional PhD route usually supervise students in the same discipline and supervise the quality of the research itself (the methodology, the data collection, the ethics etc.).

This is not the case with the Retrospective PhD by Publication and these supervisors usually work alone with the student to primarily focus on the synthesis writing overview and viva preparations. Some Universities in the UK e.g. The Open University students are allocated a mentor in the year up to enrolment. Once registered, they have a more formalised supervisor/advisor for the year of registration (Smith, 2015). However, very often students (who are also academic staff) who are writing and collating their work for a Retrospective PhD by Publication will approach a potential suitable supervisor well before the enrolment date and use the person informally as a mentor/advisor as they write to their chosen coherent theme and seek formative feedback on their emergent work. This does mean that the Retrospective PhD by Publication "supervisor/advisor"

is often used informally (and without deployed hours) prior to the student formally registering.

Some students have stated that the process of completing a Retrospective PhD by Publication took so long that they "lost" several advisors on the way as the process took so long (Smith, 2015, p. 124). Robins and Kanowski (2008) have discussed the challenges of trying to establish the perspectives of potential supervisors for the slightly different Retrospective PhD by Publication route prior to their appointment and the need to consider changing supervisors early if they are dissatisfied or unable to resolve opposing views about the coherence, originality or impact of the work.

Others have lost supervisors during the year's enrolment and writing up, leaving them as "doctoral orphans" which can be stressful and lead to loss of academic identity and low confidence (Kiley & Wisker, 2009) but this is more common in the traditional, prospective route or in the more informal stage of the Retrospective PhD by Publication where informal colleague advice is shared. Retrospective PhD by Publication supervisors mention that there is a lack of training provided by the universities on Retrospective PhD by Publication supervision to build the necessary skills and knowledge to be a successful PhD by Publication supervisor and they feel unable to understand the route properly (Smith, 2019).

The emotional impact of doing a PhD by any route has also been illuminated in the literature. Hughes and Tight (2013) relate the PhD working and learning experience from the student and supervisors view as a journey comparing it to metaphors in Pilgrims Progress and the need for student resilience to surmount challenges and obstacles and find strength in the inner spirit. (Hughes & Tight, 2013, p. 766). A Retrospective PhD by Publication student is often older and the writing and publication process (the bread and butter of academic life) can endure and evolve over many years taking in rejections, personal changes, job changes, financial pressures. Anxiety over life events can often curtail the students' ability to write (Castello et al., 2009) and supervisors need to be empathetic and supportive about this.

Often a Retrospective PhD by Publication supervisor is involved "informally" prior to confirmation of registration and the (usually) year-long synthesis writing period and confirm that the challenges of supporting a Retrospective PhD by Publication student during rejections and revisions of key papers can be lengthy and arduous for both parties. Other specific concerns from Retrospective PhD by Publication supervisors focus specifically on advising on the collation and number of outputs, their contribution, impact, and originality. These are all unique and distinct elements of this route and are discussed below.

Advising on the Collation and Number of Outputs

Regulations on numbers and type of publications vary in different universities and it recognised there are different approaches to this depending on the type of outputs and the subject area (UKCGE, 2015). Supervisors of the Retrospective PhD by

Publication route must be clear about the regulations and guidance and requirements of their own University and advise their supervisees accordingly (QAA, 2018) prior to the student formally enrolling for the award and this advice should primarily focus initially on the coherence of the submitted works. Supervisors should emphasise the need for the submitted work to be peer reviewed, in the public domain, and, ideally, that there is a good balance between sole and co-authored work. Consideration of the role of co-authors and indeed future opportunities for further collaborative co-authored work should also be considered as part of any PhD supervisory process (Robins & Kanowski, 2008).

Universities vary in their requirements for type and number of published work outputs. number and. This can generate stress in PhD by Publication students who may see others accepted to register but who are submitting published work and/or artefacts in markedly different quantity and type than their own work. (Usually between 5 and 10 outputs around a single articulated theme is expected QAA, 2018) and the specific local university regulations must be followed by the student. Seeking letters of support from co-authors takes time and supervisors should advise their candidates to move swiftly to seek confirmation and a declaration of their percentage contribution. These letters should be included as evidence in the appendices in the final submitted synthesis.

While students collate their work, it is tempting to include pieces which don't always tie into the "golden thread" – the core theme which has been explored at a deep and critical level and ties the separate outputs together (Brown, 2018). An effective Retrospective PhD by Publication supervisor should take time to support the student to explore and analyse their published work (whether these are artefacts, papers or digital materials) to ensure it tells a story and is conceptually focussed around one theme/or issue, however broad. This theme (the golden thread) needs to be clearly articulated throughout the synthesis/commentary and articulated in the viva and is essential to illuminate the coherence of the body of work. The scholarly publishing process is one that is fraught with politics and biases. These need to be considered by doctoral researchers and their supervisors to ensure that Retrospective PhD by Publication is the best choice for the candidate.

Advising on the Originality and Contribution of the Student's Work

Contributing to the existing body of knowledge in the field and the work's originality is key to achieving the criteria for the Retrospective PhD by Publication field over many years.

My survey of supervisors (Smith, 2015) showed that supervisors can usefully encourage critical discussion, for example, about where a student's submitted published work sits in relation to others' working in the same discipline and how this might have changed over time. As a supervisor, it is worth exploring whether

the student thinks they have filled a gap in the existing knowledge, changed practice or changed thinking about an issue because of their own research. Supervisors should encourage students to reflect on whether their contribution is brand new and original or whether the student's own published ideas have been integrated into others' thinking and reinterpreted – this is still regarded as impactful. Clarke and Lunt (2014) have suggested that the discipline or field in which the candidate's topic is situated, influences the examiners' interpretation of 'originality' in the PhD viva and their expectations of the candidate – it is therefore worth teasing out the student's views in preparation for the viva to optimise their performance to meet these criteria. One useful structured approach is for supervisors to encourage their students to write a retrospective summary of each paper/artefact and elucidate what was original about that paper/artefact at the time of writing and what the state of play is currently. Considering in parallel which other authors have applied the student's work, and whether a nub of each output remains original is important – the very act of formally documenting and discussing this within a wider disciplinary context can be useful and clarify thinking (Smith, 2015, p. 103).

Indeed, one element of considering "contribution" is through a focused discussion about impact – what benefit has the student's research really had and for/to whom? This is one area where Retrospective PhD by Publication differs from a traditional PhD. The impact of the published work can strengthen the argument for contribution to the field and needs to be considered and explicitly demonstrated in the synthesis and in the viva discussions in a whole range of different ways be that (i) through direct contribution to society and the economy (RCUK, 2014) (ii) academic impact where beneficial advances in methodologies, theory, perspectives, concepts, applications and policy change have emerged from the collated published outputs in the public domain and (iii) through the demonstration of active public engagement. The public engagement issues can be forgotten, and it needs to be articulated (if appropriate) but is particularly relevant for the students in creative, arts, social science and community-based academic roles.

> Engaging the public with research can improve the quality of research and its impact, raise your profile, and develop your skills. It also enables members of the public to act as informed citizens and can inspire the next generation of researchers. (NCCPE, 2020)

If Retrospective PhD by Publication Supervisors in my survey were keen to emphasise the importance of encouraging their students to collect data about the ongoing impact of the work be that conference invitations, stakeholder feedback, citation indices, publication counts, journal impact factors. Various bibliometrics like the students h-index (which considers the publication count and number of citations) can also be a useful way to show impact and contribution. Many supervisors do not have expertise in this and supervisors can encourage students to seek specialist help from their academic librarians. Supervisors should also encourage students to collect Altmetrics. They can offer a valuable insight into online activity and might show how often an article has been blogged about, cited or

bookmarked (Galligan & Dyas-Correia, 2013). It is important for supervisors to encourage the collection of this information at the start of the registration year rather than as a superfluous add on, forgotten until the end of the process. This information can really add value to a student's synthesis chapter on impact and contribution.

Supervising the Writing of the Synthesis

Writing the synthesis effectively to meet Retrospective PhD by Publication supervisors often do not know where to start. The writing in the synthesis should be academically focussed and needs to be robust, systematic, well-structured and clear and supervisors should have seen and read a few good ones, so they understand quality synthesis writing whilst recognising individual structures and layout will, like traditional PhDs be different and distinct.

The structure and flow and direction of the synthesis acts as the framework to summarise and illuminate the content of the combined published works. The abstract should be enticing, the visibility of the golden thread, the originality and its contribution to the field foregrounded to make the examiners' job easier and to allow the student to showcase their body of work in the best possible light. Students are naturally proud of their long history of publishing their ideas and supervisors should take time to understand their approach and help them clarify their golden thread of coherence. Supervisors should focus on encouraging students to analyse their "triple whammy" (Smith, 2015, p. 5) and engage in analysis of their work and self-analysis of their role in their publication journey. Students should be encouraged to take academic writing seriously and to write "consciously" and to consider intersections, overlap and new ideas. Conscious writing involves being able to read your own text as an editor and a writer, asking questions about the choices and actions you have made in terms of the concepts used as well as the emergent synthesis structure and its coherence. It means being able to explain not just what you have written about, but also being able to tell the story of why the choices were made and how things were included, excluded and shaped in relation to the overall aims and objectives of your work (Clarence, 2014).

This can be taxing, but the process can enhance a strong authorial identity (Cheung et al., 2016), original thinking, deep exploration and the emergence of new reasoned actions which can subsequently enhance innovation and impact. It values and recognises the importance of research findings that emerge over time and are validated through undertaking a Retrospective PhD by Publication can symbolise the formal culmination of an established, long-term and productive research career. Much can change over time, not just with the growth and development of the publications themselves over time but with the PhD student's writing and their developing views over a long career. Supervisors have an important role to play in facilitating this process.

Supervising the Preparation for the Viva

It is important for the supervisor to clarify the expectations of the content and process of the Retrospective PhD by Publication viva examination with their students. It is important to emphasise that students are not being examined on their methodology or the quality of their individual submitted research outputs. These elements have already been quality-assessed through the peer review process prior to each output reaching the public domain. Students of the Retrospective PhD by Publication.

Often the issue is that the external examiners themselves are not much practised in the role of formally examining this route and care must be taken by university examiner approval committees to ensure that the selected examiners have sufficient experience and awareness of how to conduct the viva in the specific form needed for a Retrospective PhD by Publication.

The supervisor should also take time to ensure the candidate can explain the real impact of their work and critically explore its practical or theoretical value whether this be through changes to institutional teaching, input to local or national policy, international impact or through conference or exhibition/artefact feedback or well cited texts. Future research plans and projects, might also be discussed. Supervisors should usefully, as with all PhD routes, offer a mock viva examination to offer an opportunity for the candidate to discuss and answer possible questions.

Key Recommendations

In the best tradition of Retrospective PhD by Publication scholarship, I have synthesised the key themes from the literature, my colleagues and Retrospective PhD by Publication students and reflected on the many issues raised, and have prioritised what I consider to be the key practical areas for action which will help both the students and the supervisors and then, indirectly, the current and future examiners of this award. The body of competent Retrospective PhD by Publication.

I therefore recommend

1. University's own specific guidance for the PhD by Publication.
2. That some core training and support for Retrospective PhD by Publication supervisory behaviour and expectations is established at each university and in the sector for consistency and the sharing of best practice. This could be a sector wide online module or online or face to face workshops.
3. That the pool of external examiners for Retrospective PhD by Publication supervisors to step into this external role. This would also have a knock-on beneficial impact, as the enthusiastic competent supervisors who then become the examiners can better inform their own supervisees about the specifics of Retrospective PhD by Publication.

In conclusion, the students/candidates, who are often our own academic colleagues and peers, who are undertaking this exciting route, deserve the opportunity to think critically about the impact, originality and contribution of their work overtime and thus deserve the best possible supervisory support to do this.

Takeaway for PhD by Publication supervisors:
When supervising Retrospective PhD by Publication, supervisors need to be prepared to advise on the number of included works, quality and originality of included work, and academic language for expressing synthesis of findings.

Takeaway for PhD by Publication candidates:
When deciding on what publications to include in their Retrospective PhD by Publication thesis, candidates need to think thoroughly about the nature of the publications, their originality, and their "fit" with the overarching theme of the thesis.

References

Brookfield, S. (1995). *Becoming a critically reflective teacher*. Jossey-Bass. San Francisco.

Brown, S. (2018, April 25). *PhD by published works* [Blog post]. Retrieved from https://www.bera.ac.uk/blog/phds-bypublished-works

Castello, M., Inesta, A., & Monereo, C. (2009). Towards self-regulated academic writing: An exploratory study with graduate students in a situated learning environment. *Electronic Journal of Research in Educational Psychology, 7*(3), 1107–1130.

Cheung, K. Y., Elander, J., Stupple, E. J. N., & Flay, M. (2016). Academics' understandings of the authorial academic writer: A qualitative analysis of authorial identity. *Studies in Higher Education, 43*(8), 1468–1483.

Chong, S. W. (2020). PhD by published work and "doctorateness": My experience at a UK University, *Innovative Practice in Higher Education, 4*(1), 1–12, ISSN: 2044-3315.

Clarence, S. (2014, May 20). *Conscious writing* [Blog post] Retrieved from https://phdinahundredsteps.com/2014/05/20/conscious-writing/

Clarke, G., & Lunt, I. (2014). The concept of 'originality' in the PhD: How is it interpreted by examiners? *Assessment and Evaluation in Higher Education, 39*(7), 803–820.

Derounian, J. (2020, November 14). *How undertaking a PhD by published work took me on my own career journey* [Blog post]. Retrieved from https://wonkhe.com/blogs/how-undertaking-a-phd-by-published-work-took-me-on-my-own-career-journey/

Draper, S.W. (2019). *PhDs by publication* [online]. The University of Glasgow. Retrieved from https://www.psy.gla.ac.uk/~steve/resources/phd.html

Fullagar, S., Pavlidis,A., & Stadler, R., (2017). Critical moments of (un)doing doctoral supervision:collaborative writing as rhizomatic practice. *Knowledge Cultures, 5*(4), 23–41, https://doi.org/10.22381/KC5420173

Galligan, F., & Dyas-Correia, S. (2013). Altmetrics: Rethinking the way we measure. *Serials Review, 39*(1), 56–61.

Halse, C., & Malfoy, J. (2010). Retheorizing doctoral supervision as professional work. *Studies in Higher Education, 35*(1), 79–92.

Hughes, C., & Tight, M. (2013). The metaphors we study by:The doctorate as a journey and /or no work. *Higher Education Research & Development, 32*(5), 765–775. https://doi.org/10.1080/07294360.2013.777031

Jackson, D. (2013). Completing a PhD by publication: A review of Australian policy and implications for practice. *Higher Education Research & Development, 32*(3), 355–368.

Kamler, B. (2008). Rethinking doctoral publication practices: Writing from and beyond the thesis. *Studies in Higher Education, 33*(3), 283–294.

Kamler, B., & Thompson, P. (2008). The failure of dissertation advice books: Toward alternative pedagogies for doctoral writing. *Educational Researcher, 37*(8), 507–514. https://doi.org/10.3102/0013189X08327390

Kiley, M., & Wisker, G. (2009). Threshold concepts in research education and evidence of threshold crossover, *Higher Education Research and Development, 32*(5), 705–775. https://doi.org/10.1080/07294360903067930

Lee, A. (2008). How are doctoral students supervised? Concepts of doctoral research supervision. *Studies in Higher Education, 33*(3). https://doi.org/10.1080/03075070802049202

Lee, A. (2010). When the article is the dissertation – Pedagogies for a PhD by publication. In C. Aitchison, B. Kamler, & A. Lee (Eds.), *Publishing pedagogies for the doctorate and beyond* (pp. 12–29). Routledge.

Lee, A. (2011). Professional practice and doctoral education: Becoming a researcher. In L. Scanlon (Ed.), *"Becoming" a professional: An interdisciplinary analysis of professional learning* (pp. 153–169). Springer.

NCCPE (National Coordinating Centre for Public Engagement). (2020). *What is public engagement?* https://www.publicengagement.ac.uk/do-engagement/funding/pathways-impact

QAA (Quality Assurance Agency). (2018). *UK quality code for higher education advice and guidance research degrees*. https://www.qaa.ac.uk/quality-code/advice-and-guidance/research-degrees

QAA (Quality Assurance Agency). (2020). *Doctoral degree characteristics statement.* https://www.qaa.ac.uk/docs/qaa/quality-code/doctoral-degree-characteristics-statement-2020.pdf?sfvrsn=a3c5ca81_14

RCUK (Research Councils United Kingdom). (2014). *Impact through knowledge exchange: RCUK position and expectations*. https://www.ukri.org/files/legacy/innovation/keposition-pdf/

Robins, L., & Kanowski, P. (2008). PhD by publication: A student's perspective. *Journal of Research Practice, 4*(2), Article M3.

Smith, S. (2015). *PhD by published work: A practical guide for success* (Research skills series). Palgrave Macmillan.

Smith, S. (2017). Supervising a PhD by published work: An exploration of the supervisory role. *The Journal for Higher Education Development (Zeitschrift für Hochschulentwicklung), 12*(2), 19–43.

Smith, S. (2019, January 31). [Blog post]. Retrieved from: predoctorbility http://predoctorbility.co.uk/the-challenge-of-supervising-students-who-are-doing-a-phd-by-published-work/

Smith, S., & Brown, S. (2019, January 31). *PhD by published work: Is it time to clarify and tighten-up the ground rules?* [Blog post]. Retrieved from: http://ntf-association.com/the-blog-all-things-ntf/phd-by-published-work-is-it-time-to-clarify-and-tighten-up-the-ground-rules/

UKCGE (UK Council for Graduate Education). (2015). *The role of publications and other artefacts in submissions for the UK PhD*. Retrieved from: http://www.ukcge.ac.uk/article/the-role-of-publications-and-other-artefacts-in-submissions-for-the-uk-phd-201.aspx

Yazdani, S., & Shokkoh, F. (2018). Defining doctorateness: A concept analysis. *International Journal of Doctoral Studies, 13*, 31–48.

Professor Susan Smith is Deputy Director of the Centre for Learning and Teaching at Leeds Beckett University. She undertakes qualitative research into the pedagogy of higher education. She is a National Teaching Fellow and Principal Fellow of the HEA. Her scholarly outputs focus on PhD by Published Work, curricular issues and inclusive practice.

Chapter 9
Demystifying Retrospective PhDs by Publication: A Collective Approach

Sally Brown

Abstract The Retrospective PhD by Publication provides an attractive alternative doctoral route for colleagues wishing to gain a PhD through a largely self-directed route, usually by building up a body of publications over a period of time then uniting them through a connecting narrative showing the golden thread that provides the coherence, originality and contribution of the oeuvre in a way that is equivalent to or better than traditional doctoral study approaches. This chapter describes my original, un-funded and creative approach to supporting around a dozen candidates for Retrospective PhD by publication over a nine-year period, informally and collectively alongside my husband (and co-author) Prof Phil Race domestically.

Introduction

The Retrospective PhD by Publication provides an attractive alternative doctoral route for colleagues wishing to gain a PhD through a largely self-directed route, usually by building up a body of publications over a period of time then uniting them through a connecting narrative showing the golden thread that provides the coherence, originality and contribution of the oeuvre in a way that is equivalent to or better than traditional doctoral study approaches. I have long been a proponent of this route because it:

> provides a means for teaching-focused practitioners in higher education, typically working in a disciplinary context, to claim reward and recognition for important and original contributions they have been making to the scholarship of learning and teaching within their fields. (Holgate & Sambell, 2020)

Elsewhere in this volume (see Chaps. 6, 10, 11, 12, and 13), powerful rationales for undertaking Retrospective PhD by Publication are outlined in detail: it is an

S. Brown (✉)
Emerita Professor, Leeds Beckett University, Leeds, UK
e-mail: sally@sally-brown.net

© The Author(s), under exclusive license to Springer Nature Switzerland AG 2022

S. W. Chong, N. H. Johnson (eds.), *Landscapes and Narratives of PhD by Publication*, https://doi.org/10.1007/978-3-031-04895-1_9

approach to which I am fully committed, having undertaken this doctoral route myself at the end of my career to capitalise on the many publications I had achieved in four decades of academic life. However, I experienced minimal support in completing mine, and it struck me that this route, while unarguably in my view, ideal for those academics in professional areas like nursing or surveying where it is not common to undertake doctoral studies prior to teaching practice-related subjects, this route often requires candidates to stumble unguided around the system. For this reason, after completing mine and as I entered a semi-retired phase of my life, I decided to offer support to others who wished to follow the same pathway. Helping them individually proved labour intensive, so I started thinking about ways I could advise and guide them collectively.

I am convinced of the value of having residential writing experiences (Grant, 2006; Eardley et al., 2020), having run many throughout the last decade of my working life, but their very nature requires financial and physical resources, and, for many in employment, express permission to attend, which may be withheld in the case of some staff, for example, those in 'third space' professionals like learning support and student services staff. So candidates on this route are rarely funded by their institutions to attend writing retreats or other structured activities, thereby making them doubly disadvantaged.

This chapter therefore describes my original, un-funded and creative approach to supporting around a dozen candidates for Retrospective PhD by publication over a nine-year period, informally and collectively alongside my husband (and co-author) Prof Phil Race domestically. Crucially, because it was informal and outwith the working week, no one had to ask permission to attend, nor gain funding to do so (although some were able to get their institutions to pay their travel costs). This parallels in some ways the experiences of Scherman (2019) who wanted to provide residential writing retreats for her undergraduate Psychology students in New Zealand to help them write for publication and lacked funding to support them, so she, like me, invited them to her own home.

All the attendees at these writing residential weekends were female: several men were invited to attend but none took up the offer. Our experience is unlikely to be unique; indeed according to Murray and Kempenaar (2018), "far more women attend writing retreats than men: a ratio of at least 75:25". They further suggest that "a Structured Writing Retreat is one space where women can develop process, performance, prospect and profit beliefs in relation to their writing. It suggests that by creating this microsystem women can sustain beliefs that are key for academic writing" (p. 33), and that "These retreats can provide a space where women can produce the types of work needed for career progression, rather than waiting for structural and systemic inequality to end" (p. 34). In our case, having only women attending was serendipitous rather than systematic, and it certainly helped with bedroom and bathroom arrangements!

It might be helpful to set out why I feel this particular approach was so successful and to review how our way of working might be productively emulated by others. This chapter is illustrated with quotes from seven participants who

responded to an informal questionnaire I asked them to complete about their experiences (see Appendix for questions): all have given me permission to use their words here.

The Process

The vehicle for this approach comprised inviting colleagues to our home for a 24-hour period in groups of up to six people up to four times a year. Numbers in the *soi disant* "Newcastle group" varied as new joiners replaced completers, and never exceeded nine at any time. One travelled by boat from the Netherlands (using her travel time as additional protected writing time) courtesy of the direct ferry, while the rest were UK based. Ours is not a large house but we had access to overflow accommodation, and one participant came twice in her campervan to park in the garden, and so from the Saturday until Sunday lunchtimes, we provided *pro bono* lots of food, encouragement and discussion opportunities, with the principal value for attendees coming from having a friendly dedicated space and the chance to work alongside peers on what is essentially a very lonely process with some expert but light-touch facilitation by seasoned authors.

As members achieved their doctorates, new ones were invited, and they joined at various stages in their doctoral journeys: some like me contemplated how best to demonstrate coherence within a body of publications achieved over a number of years while others started from perhaps having one or two chapters or articles under their belts, but a very clear plan of where the rest of their writing was going, together with a clear, unitising 'golden thread' running throughout. One colleague joined the group with a unified set of excellent articles but having had a dreadful experience at a Russel group university where her supervisor was unfamiliar with the Retrospective PhD by Publication requirements (and indeed, had clearly not read his university's own regulations on the matter and hence was asking her to rewrite her publications with a different methodology). Others joined having only previously been one of a long list of authors, and needed to build up confidence in sole or lead authorship, or had many publications which were so diverse it was difficult to make a case for their oeuvre having any coherence or continuity of thinking. Their publications in some cases spanned decades and in other cases only a couple of years before they joined (the initial invitation to attend the group required at least one extant publication). However, it was often this diversity in itself among group participants that proved to be highly beneficial since they had much to offer each other in terms of mutual support, with 'old hands' guiding novices, and newer authors offering fresh perspectives to more experienced colleagues.

All group members have been middle-career female academics, who were working in universities and were working on aspects of learning, teaching and assessment in higher education. Most of them have now either submitted or

graduated so I am drawing the collective process to a close as having served its purpose, instead helping those still in the final stages on a one-to-one basis as required.

What Were We Able to Offer?

Alongside hospitality basics of bed and board, by providing short bursts of intensive facilitation and peer support, the principal value seemed to be that group members, having made the time to travel to be with us, recognised that they had made a commitment to themselves and us as facilitators to work hard and achieve real progress over each weekend, and so got on and did so.

On arrival at Saturday noon, we started with lunch together at which we shared personal news and then rapidly moved to each participant outlining her provisional writing goals for the weekend and the support they sought. Promptly next they were sent to quiet working areas around the house where they wrote in peace, with tea and cakes brought to them mid-afternoon (unless it was very sunny, in which case it was taken collectively in the garden), then they worked through until pre-dinner drinks. Here they shared progress, sought peer comments and made outline plans for achievements the next day. These discussions continued over dinner but by the dessert course we had generally moved over into informal conversations, university gossip and personal news. Most did not formally work after dinner, but there was an expectation that they would do some thinking, goal setting or review work before breakfast the next day, during which the goals for the rest of the day were shared. We finished formal business by Sunday lunchtime, over which participants shared updates on progress over the weekend and what they planned to do next.

During the Saturday afternoon and Sunday morning sessions, they could request a visit from me or Phil for targeted advice and rapid review of their writing. They also sometimes met up as pairs to share common thinking. In using us as facilitators and by drawing on our small in-house ‘library’ of a couple of hundred relevant texts/downloads, they could immediately access additional information at crucial points, with helpful recommendations from us and each other. Attendees often brought further materials that they thought could be of benefit to the rest, and because they knew each other’s areas of work, they could provide interdisciplinary perspectives.

Alumni from the group were happy to share their written submissions with one another so that new attendees to the group could see the diverse scope and shape of the work required (since university regulations vary widely). As each participant approached hand-in and viva voce examination dates, we collectively provided support to help prepare candidates for the final stages. On several occasions we invited ‘expert witnesses’ to come along for an informal chat about the viva process, including group alumni, experienced PhD examiners familiar with the Retrospective PhD by Publication route and even the author of the most successful book to date on the process, former colleague, Susan Smith (2015).

Why Was the Approach Successful?

There were real benefits in the collective process whereby attendees discussed aims, specific targets and outcomes over mealtimes and at breaks and no one wanted to 'let the side down' by not achieving what they set out to achieve (or an alternative positive outcome) in the time available. Participants recognised that time was short and so came prepared to make sure they could get the most possible out of the 24 hours of interaction.

> The weekends were really motivating as the approaching weekend was a prompt to progress as far as possible in order to maximise the opportunity for useful feedback from the facilitator. It also prompted active planning and prioritising so that I would get the most out of the time. The time was broken into manageable chunks interspersed with lovely food. (Participant a)

> The weekends provided milestones to support my progress. I would have a target to work towards for the weekends and then used that time to work (with lots of help) on what I had produced. (Participant c)

> [It was] really important as it enabled me to … figure out next steps and then absorb myself in what I was required to do. (Participant d)

> Attendance at the residentials provided a safe space to explore ideas and develop new thinking relating to my research, so I arrived with an idea and left with goals and a plan! It gave uninterrupted time to dedicate to my writing I always and left motivated to achieve the goals I had set. (Participant f)

The very short time available in each weekend meant that each attendee wanted to achieve as much as they could while present and this provided a very tight focus for personal action.

> I always had a target when I participated in these weekends (often a particular number of words to be written). I always achieved my target. I think this was because I was allowed 'to get on with it' and was given the freedom and space to think and to write. (Participant b)

> The immersive 24 hours allowed for both reflection and action for my writing and development in my thinking due to the conversations with others. The feedback on work was critical to my ability to publish. (Participant c)

> It certainly kept the momentum of my PhD on track which for me was important as I had a target to get it done in 4 years. Knowing I was attending a residential meant I had to put the work in before I arrived. (Participant f)

The availability of time away from home in a residential context, enabling "a small window of protected time to write in a supportive, encouraging, and dedicated environment, which serves to demystify the process of writing, and create some writing momentum" (Scherman, 2019) was also important to participants:

> The calmness and the structure really helped me to focus and concentrate on one task, rather than working at home thinking about the washing machine or the dishwasher. I was able to concentrate on me and what I wanted to do – which does not happen very often. I was able to focus on one thing, rather than dipping in and out of emails. The set 'study' times also worked well for me – with a lovely break at the end and a cup of tea (made by someone else) and a piece of cake (made by someone else). I normally never eat cake but this was part of the 'culture' and it was a reward for working on my PhD. (Participant b)

The short bursts of activity between meals in some ways simulated the structured, time-limited approach of the Pomodoro writing technique, (Cirillo, 2006) which are commonly used in traditional residentials, which provides regular constrained opportunities to improve productivity and to enhance focus and concentration through the elimination of interruptions, as well as providing thinking space to make decisions, thereby boosting motivation and bolstering determination to perceive and achieve goals.

> It provided dedicated time to write and to think and an encouraging and safe environment to share thoughts and concerns. The weekends were times to advance your thinking as well as the thesis itself. (Participant b)

> The weekends were energising and confidence building. The experience encouraged fresh determination to advance the work and to complete. (Participant a)

> Once I had attended a couple of sessions, I felt comfortable asking any question of the group, no matter how daft I thought it was. It did not matter what position people held in work, in the group we were all the same. I am not usually one to ask many questions, but I found myself able to share ideas, ask for opinions and help of the group. (Participant f)

There was a great deal of laughter alongside a genuine sense of fun which made the weekends both enjoyable and productive, leading to the development of an organic community of practice that fostered camaraderie and the will to succeed. Grant (2006) talks about "the pleasure of the women-only culture of the retreats": it was substantially a coincidence that only women joined us, and of course Phil Race joined in and provided one-to-one support on request (and at least one male partner joined us for meals from time to time), but it was probably quite important that participants spent most of the time in the company of women who shared the experience of principally working in male-led and managed HEIs.

> The social aspects were extremely important. They provided space to relax and talk and gain support from other like-minded people in similar situations. The social aspects were extremely important. (Participant b)

> [Meeting other people was] critical because we chatted not just about our work but how we felt. I didn't feel alone. (Participant d)

> For me the conversations about teaching and learning that happened over the weekend helped my thinking plus spending time surrounded by a support network that wanted everybody to succeed and were all moving in the same direction. (Participant c)

> The weekend left me motivated to keep going when I returned to work. My confidence grew and I would attribute this to the excellent support. The weekend reinforced for me that the publications were achievable and taking one at a time would result in the PhD. Celebrating other group members achievements was really useful as well, as this reinforced it could be done. (Participant f)

When one of our group completed, she often came back as a guest to one more retreat, often giving an account of how their vivas progressed and offering advice on how to prepare and follow up. It is much regretted that our plans collectively to go out and celebrate the work of the group while attending in person the formal PhD defence of one of our alumni at a university in the Netherlands in 2020 were scuppered by the Covid-19 emergency.

> A significant feature of the group was the way in which the community of practice built self-efficacy among the participants.
>
> My confidence grew over those few years as I started to realise that I could do it. As each article was published there was a success moment which then helped grow the momentum. (Participant c)
>
> And someone else's belief in me was so important. Plus, just having people you respect around you tell you how good your work is (and to tell them the same) was so confidence boosting. (Participant d)

There was no formal membership to the group, and some came only a couple of times, particularly participant e, who joined when her doctoral work was almost complete, but who had had so little support from her titular supervisor that she highly valued the support of the group in the very last stages of her preparation for submission and completion. The group wound up more or less as the Covid Pandemic took hold in 2020, with one longstanding group member receiving distant support as she navigated her university's glacial progress in setting up a viva for her completed thesis mid-pandemic. Unsurprisingly, one participant seeking early retirement decided that achieving her PhD was not a priority as she negotiated the later stages of her working life, and another suspended her endeavours due to work and family commitments. However, collectively the group was a huge success, leading to achievement of doctorates by around a dozen participants.

Is This Approach Transferable?

There are clearly ways in which the process has transferable aspects: indeed two 'alumni' from the same university have set up a similar (but non-residential) mutual support group to successfully support their institutional colleagues on this route. It wouldn't have to be residential to work well (although I am certain that helped), nor does it have to have expert facilitation (although I am convinced that my firm but benevolent direction kept colleagues on time and task). What does seem to be essential is creating protected, nurturing space, with high expectations, and the potential to see from fellow participants that the goal of doctorate by this route is achievable.

Conclusion

Among the participants there have been diverse motivations, approaches and originating disciplines including Sport and Exercise science, Systems Analysis, Law, Computing, Nursing and Events management, and this was a real strength of the group because they could offer each other access to different hinterlands of theoretical models, research literatures and practical experience. It worked because participants were united in their goal of achieving a PhD for themselves and were able to

make the most of very short intervals of time to achieve considerable amounts of work. Most have achieved their goals, and even those who haven't feel they have benefited from the weekends in terms of increased publications outputs. We feel it's definitely an approach other could adopt, adapt and reframe.

Takeaway for PhD by Publication supervisors:
Group supervision can be an effective supervisory approach because it forms a community of practice. Its benefits can be maximised when students from different disciplines can have a chance to participate in the group, promoting peer learning.

Takeaway for PhD by Publication candidates:
Completing a PhD by Publication does not need to be a solitary process. In addition to your supervisor, there are other parties who can support you throughout your learning journey. It may be worthwhile to reach out to colleagues and peers who are completing their PhD by Publication (even in other disciplines) and share tips and challenges with each other.

Appendix

Questions used for the informal survey of participants:

1. What effect did coming for a 24 hour residential reasonably regularly have on your progress towards completion of your PhD?
2. What impact did it have on you that you were thereby meeting other people all working towards the same goal?
3. What impact did the weekends have on your motivation, confidence and belief that you could finish the task?
4. If you have not completed your PhD as a result of the weekends, what reasons would you give (e.g. deciding this was not a course of action you wanted to take right now)?
5. What has been the impact on you personally of achieving the PhD if indeed you have?
6. Any other comments on process?

References

Cirillo, F. (2006). The pomodoro technique (the pomodoro). *Agile Processes in Software Engineering, 54*(2), 35.

Eardley, A. F., Banister, E., & Fletcher, M. (2020). Can academic writing retreats function as well-being interventions? *Journal of Further and Higher Education*, 1–14. https://doi.org/10.1080/0309877X.2020.1744542

Grant, B. M. (2006). Writing in the company of other women: Exceeding the boundaries. *Studies in Higher Education, 31*(4), 483–495.

Holgate, P., & Sambell, K. (2020). The professional doctorate by portfolio: Alternative assessment for advanced practitioner-led scholarship? *Practitioner Research in Higher Education, 13*(1), 57–69.

Murray, R., & Kempenaar, L. (2018). Why do women attend writing retreats? *Gender and Education, 32*(3), 1–18.

Scherman, R. (2019). Student writing weekends: A model for encouraging undergraduate student publication. *Frontiers in Psychology, 10*, 1183.

Smith, S. (2015). *PhD by published work: A practical guide for success*. Macmillan International Higher Education.

Professor Sally Brown is an Independent Consultant in Learning, Teaching and Assessment and Emerita Professor at Leeds Beckett University where she was, until 2010, Pro-Vice-Chancellor. She is also Visiting Professor at Edge Hill University and formerly at the Universities of Plymouth, Robert Gordon, South Wales and Liverpool John Moores and at Australian universities James Cook Central Queensland and the Sunshine Coast. She holds Honorary Doctorates from the universities of Plymouth, Kingston, Bournemouth, Edinburgh Napier and Lincoln. She is a Principal Fellow of the Higher Education Academy, a Staff and Educational Development Association (SEDA) Senior Fellow and a National Teaching Fellow.

Chapter 10
The Retrospective/Prospective PhD by Publication Journey

Michelle Morgan

Abstract This chapter discusses the benefits and potential pitfalls of undertaking a Retrospective/Prospective PhD by publication and the various transitions stages that make up these routes. It provides advice about what to consider at the start of your journey when deciding if it is the right route for you, through to staying the course, and finally crossing the finish line. It concludes by providing practical tips and advice for success.

Introduction

For me, the Retrospective PhD by Publication route was the key that unlocked my potential and set me on course for an important new phase in my career trajectory. In this chapter, I use my student experience transitions model to provide practical advice for students specifically undertaking a Retrospective or Prospective PhD by Publication in, through and out of the study journey. It is this work, which was created to provide a framework of what and how to support students across all types and levels of study, that was at the heart of my own doctoral thesis. As a direct result of my own doctoral journey, I have been able to extend it to cover the Retrospective/Prospective PhD by Publication (referred to hereafter also as PhD by Publication).

Whether you are currently considering what type of doctoral study to take, or you have already embarked on your PhD by Publication journey, I hope this chapter can provide support and advice to help your passage to success.

Through highlighting my own experience and journey of twists and turns, highs and lows, which are common to many taking this voyage, I highlight the different transition stages, typical pressure points, and suggest practical ways in how to deal with them. I finish off the chapter by providing some tips and advice on how to sustain momentum in undertaking this enriching, but still uncommon path.

M. Morgan (✉)
University of East London, London, UK
e-mail: mmorgan@uel.ac.uk; michelle@improvingthestudentexperience.com

© The Author(s), under exclusive license to Springer Nature Switzerland AG 2022

S. W. Chong, N. H. Johnson (eds.), *Landscapes and Narratives of PhD by Publication*, https://doi.org/10.1007/978-3-031-04895-1_10

Early Stages of My 'PhD' Study Journey

When I finished my undergraduate degree as a mature student, I obtained work in a university as a departmental administrator in the early 1990s. I had loved doing research as part of my course and had an enquiring mind, so I wanted to continue studying. The route I wanted to pursue was a PhD. In the early 1990s, a traditional PhD was the only route readily available. Professional doctorates were in their infancy and rare, and the PhD by Publication were not advertised as an option. However, today, these routes are established across higher education, although the PhD by Publication still remains relatively unusual because it is generally a route only available for staff working in higher education and alumni.

As a working class, mature female who should not have done A-Levels, let alone attended Polytechnic, the thought of being accepted onto and working towards a PhD, was mind blowing. I was very fortunate to have a manager who not only supported me in wanting to undertake further study, but gave me the choice of what I wanted to do. Ordinarily, if further study was undertaken by an administrator in the higher education setting, it tended to be a business-related master's route rather than a research-based one, because this was seen as relevant staff development of value to the organisation. However, having only experienced the structure and discipline of an undergraduate course, I was not prepared for the research environment of a PhD.

Pitfalls of the Traditional PhD

After registering for a part-time MPhil/PhD, I soon started to realise that students on undergraduate and postgraduate taught courses (postgraduate certificates, diplomas, and masters) are part of a cohort that can provide friendship and support networks that help facilitate completion. The PhD does not have this infrastructure in many disciplines, particularly for mature part-timers, so it is a lonely journey. I had chosen a specific area to research because it had interested me. However, as it progressed in the early stages, my supervisors altered the direction of my research. This had been a very logical decision, but it was a track that I did not find nearly as interesting. I did not understand from the outset when I was thinking about doing a PhD nor when I started my research, that twists and turns in the approach could and do happen regularly. Also, as I started collecting and analysing the data, I increasingly found it challenging to find adequate time to absorb myself in the research due to work and life demands.

Furthermore, in the design of my research, I did not realistically consider the time it would take to collect and analyse the data. My research was qualitative in nature and transcribing the 40 interviews before I could start the manual process of

analysis, was extremely slow. At the time, voice recognition software and data analysis tools were not readily available or advanced. Today, there are a wealth of technical tools that can support and reduce the data collection and analysis process, when required to produce findings in a usable form for a journal paper, research project or thesis. However, allowing adequate time to do this is important and needs to be built into a schedule. These challenges are all well-recognised contributory reasons for withdrawal (Bourke et al., 2004; Park, 2005) but I was not at the time cognisant of them.

As the MPhil to PhD transfer time approached, I realised that it was unlikely that I would be able to complete the PhD in the given time, and after 5 years of part-time study, I did not have the energy to continue. So, I decided to finish my studies at MPhil level at which I was successful in achieving. Yet I saw this as a failure and could not appreciate the skills and knowledge that I had accrued that would later lay the foundation for my work that was to come. As I was to find out when I continued my research and writing journey, it was important to look at, consider and address the 'negative' whether it was comments on a journal paper or a rejected research grant proposal, and translate these into a 'positive' in order to progress with what I was trying to achieve. This is an important skill for aspirant PhD students to develop, not only to protect your self-belief, but also to enable you to keep going.

Understanding Study Transitions Across All Levels of Study

As a result of my own study experiences and through my day-to-day work, I started to understand the importance of supporting transitions in order to support progression, attainment, and success. I developed, shared, and published my Student Experience Transitions Model (formerly called Student Experience Practitioner Model) as a framework to help me in my university work and to identify where support was needed (see Fig. 10.1).

My model had evolved from talking to students and staff, through witnessing what had worked well and what had not, through understanding university processes, and observing patterns in data. My model proved to be applicable to any level of course, with it just having to be mapped to its duration (see Table 10.1). However, at this stage, as my work largely focused on undergraduate (UG) students in a post 1992 university, I did not apply it in detail to postgraduate taught (PGT) or research (PGR) courses. That was to come much later when I started the PhD journey again by pursuing a PhD by Publication.

Pragmatically and intellectually, I understood that in order to support the student in their study journey, it was important to identify the various transitions stages. I identified that there were stages all students had to progress through regardless of level of study which I briefly describe below.

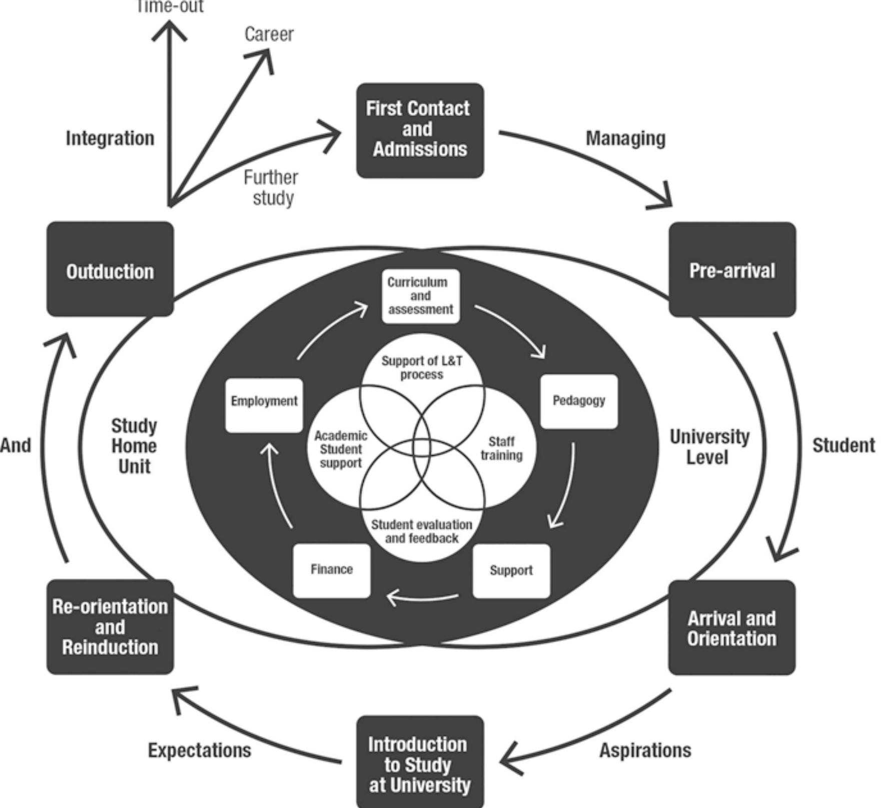

Fig. 10.1 Student experience transitions model (SET)
Diagram Source: Morgan (2013a, p. 61)

Table 10.1 Mapping of the stages against course duration

Below are four examples of the stages mapped against different course durations
Example one: A student on a 1-year course A student on a 1-year course will complete introduction to study by the end of semester 1 or term 1; undertake reorientation at the start of semester 2 or term 2; Reinduction through semesters 2 and 3 and will start Outduction just after the start of semester 2 or the beginning of term 3
Example two: A student on a 3-year full-time course A student undertaking a full-time course consisting of three academic levels over a three-year period, will undertake introduction to study during level 1; reorientation at the start of levels 2 and 3; Reinduction during levels 2 and 3 and start Outduction midway through level 2 and complete it in level 3
Example three: A student on any part-time course in excess of 5 years A student undertaking part-time course in excess of 5 years, will undertake introduction to study during level 1; reorientation at the start of levels 2 to 5; Reinduction during levels 2 to 5 and start Outduction midway through level 4 and complete it in level 5

Brief Overview of the Stages of My Transition Model

Each stage needs to provide targeted and appropriate information for each level of study.

First Contact and Admissions

It is important for institutions to shape the expectations of its applicants for each level of study in terms of what to expect and how to study at university as well as managing their aspirations to ensure they get the most out of their university experience.

Pre-arrival

The pre-arrival stage is where institutions prepare their new students for arrival at university for a particular level of study. By this stage, institutions should have a basic understanding of the backgrounds and support requirements of their new students.

Arrival and Orientation

Arrival and orientation refer to students finding their way around an institution and settling into university life within the first 2–3 weeks. It is a short stage in the student lifecycle and includes academic and non-academic activities.

Introduction to Study

The introduction to study stage is critical in helping students lay the foundations for successful study by equipping them with the relevant study and research skills for the level of study they have entered. This stage takes place over a longer period of time than orientation. A student needs to complete an academic cycle depending on the length and structure of a course to complete this stage. It could range from a semester to an academic year.

Reorientation and Reinduction

Reorientation is for returners coming back into the next academic year. This is where the student is given information on what is academically expected of them in the next stage of the journey, and where they are asked to reflect on the skills they

need to build on and develop in the coming year in order to succeed. For the institution, it is an opportunity to announce any changes that have occurred on campus, within the curriculum, rules and regulations, and general services as well as managing the students' expectations and experience across all areas of university life for their coming level of study.

Reinduction like introduction to study for new students, should take place over a longer period, and the duration will vary depending on the length of the course. This activity introduces returning students to new skills to help them actively engage in the learning and assessment processes in the next stage of their study.

Outduction

Just as we induct and introduce students to study, we also need to provide advice to students on how to prepare for their final assessment and effectively adapt to life post study through the outduction stage. The start of the outduction stage is determined by the length of the course but it is suggested that the process starts in the penultimate year of study.

Mapping of the Stages

It is important that each stage is mapped to the lifecycle of a student's period of study regardless of length. Each stage links to the next one to reinforce the continuity, engagement, and sense of belonging and every student must undergo each stage (see Table 10.1). Where a course comprises of between three to four full-time levels of academic study, I refer to them as Levels 1–4 so they can be easily applied to different educational settings. For example, in the UK a university fulltime undergraduate degree starts at Level 4 and continues to level 6 or 7. In the USA, the UK's Level 4 is called the Freshman year. So Level 1 of my model would be Level 4 in the UK and Freshman Year in the USA.

Themes and Activities

Effectively supporting students in their journey also requires a range of interlinking themes (curriculum and assessment, pedagogy, support, finance, and employment) and activities (support of L&T processes, staff training, student evaluation and feedback, academic student support) as highlighted in Fig. 10.1. However, it is essential to not to merely 'lift and shift' approaches, initiatives, and support from one level of study to another because different levels of study have different rules of engagement (as indeed I had experienced myself). Support needs to be appropriately designed and applied to each type and level of study.

A Crossroad: A PhD or Book Writing

As time progressed, I started presenting my model at national conferences and it resonated with many colleagues. I was asked to write a chapter on it for a book entitled *Beyond Bureaucracy: A Practical Guide to University and College Management* (Denton & Brown, 2009). This was a pivotal moment as it raised my confidence levels, both in terms of believing it was a good model and in my writing. After this chapter was published, I reached a watershed in considering what I should do next. I needed to decide whether to use my model as a foundation for another attempt at a PhD or write a book around it. I chose the latter. My drive was to share my work that would benefit many, rather than a PhD that I saw just benefiting me. Yet again, it felt like the PhD would remain elusive. What I did not realise at the time, was this decision would be the foundation of my Retrospective PhD by Publication journey. If you are someone who is already writing journal papers, book chapters, edited or have written books and do not have a PhD, then a Retrospective PhD by Publication is a logical one to consider. And if you have already dipped your toe into the water and have a publication or want to produce your first one, you may consider doing a Prospective PhD by Publication. Sue Smith's *PhD by published work: a practical guide for success* (2015) is invaluable in providing advice on the on both these approaches.

My Student Experience Transitions model was the focus of my two edited books: *Improving the student experience-a practical guide for universities and colleges* (2011) and *Supporting student diversity-a practical guide* (2013a). Although the model was applicable to both undergraduate and postgraduate taught students, the case studies selected for both books were primarily targeted at undergraduate level. The reason for this was strategic, since the sector was still focussing substantially on the undergraduate student experience at the time, and it was rare to find good practice case studies at taught postgraduate level. At this time, I had not applied my model to postgraduate research even with my unsuccessful PhD attempt because it was not part of my daily work in higher education.

After editing two books, where I benefited from the different perspectives of the contributing authors and achieved an in-depth knowledge and good practical understanding of the undergraduate student experience, I turned my attention to the PGT student experience in, through and out of the study life cycle.

Applying Transitions to PGT Study and Producing Journal Papers and Research Reports

I was acutely aware that although we had some understanding of the PGT experience post study due to the UK Higher Education Academy's Postgraduate Taught Experience Survey (PTES), we did not know what students' expectations were on arrival at the start of their studies (Morgan, 2013b, 2014). I started undertaking this

research within my faculty through the development and implementation of my ‘entry to study’ questionnaire that explored students’ prior learning experiences, current learning expectations and their expected outcomes as a result of their PGT study. In 2012, I formalised my research when I obtained a Higher Education Academy (HEA) Individual grant to look at PGT student expectations on entry. The report entitled *Understanding prior feedback experiences of new postgraduate taught (PGT) STEM students’ and their expectations and attitudes towards PGT level study at a 1992 institution* (2013b) led to me dipping my toe into the world of journal paper writing with the publication of four journal articles. It took a while to make the transition from book writing to peer reviewed journal paper in terms of following the specific style, approach and content which was dictated by the chosen journal. Trying to be logical and remain positive when negative feedback was given by reviewers was hard, but perseverance in following their advice led to better outputs in the longer term.

My transitions model and research undertaken by that stage generated further opportunities. It was to lay the foundation for my largest and most influential research project undertaken to-date and one that proved pivotal in maturing my research and my writing style.

In 2013, I was able to unify my knowledge, research, and student experience approach in one major project. In the summer of 2013, the Higher Education Funding Council for England, (HEFCE) announced Phase 1 of their Postgraduate Support Scheme, that was designed to test ways to support the progression into taught postgraduate education in England by working with universities and employers to stimulate participation of applicants who would not have otherwise progressed to this level of study. Phase 1 funded 20 projects from a £25 million publicly-funded programme. Based on my previous research, knowledge, and contacts across the sector in this field, I created an 11-university, £2.7m proposal within 2 months that was designed to explore the expectations, experiences, and outcomes of PGT STEM study from the perspective of applicants, students, university staff and employers around the principles of my transition model. In late 2013, it was announced that the bid was successful, and I went on to lead and manage the Postgraduate Experience Project (known as PEP). The project delivered more than originally planned due to the breadth, depth and scope of the findings that were generated. It resulted in three major research reports and 15 briefing papers. Through this research, I spoke to numerous students who were using the taught masters as a route to a traditional PhD, so it was at this stage; I came to another crossroad in my professional journey.

To Do a Traditional PhD or a Retrospective/Prospective PhD by Publication?

By this stage in my career, I had moved from a highly pragmatic approach to a research-informed and scholarly one. However, my writing style was determined by the type of publication. For my books and research reports, they had to be clear and easy to read, and enable readers to dip in and out of them. For the journal papers, they had to be more scholarly, formal and suitable for intense peer-scrutiny. As I mentioned earlier, when I started my writing journey, I was not aware that the publications could contribute towards a PhD by Publication. When I found out that this was the case, I was initially daunted by the potential of having to start from scratch again. However, as I reflected on the process, the Retrospective PhD by Publication increasingly felt liberating because I already had a body of work that would contribute, and I could also continue building it incrementally over time, thus making it less of a mountain to climb and without worrying about 'running out of time'. I sought advice from colleagues and read the information available on how to engage with this route (Smith, 2015). I also started to understand the differences and similarities between a traditional PhD and a PhD by Publication (retrospective and prospective routes). This in turn led me to develop my Student Experience Transition model to include postgraduate research study, thereby enriching further, my research work.

Applying My Model to a Retrospective/Prospective PhD Publication Route

As part of the process of identifying what support is needed and advice required at doctoral level, it is critical to ascertain (and indeed understand) the pressure points on students so they can be effectively addressed, and support be given. Many of the common concerns are highlighted below under each transition stage in the adaptation of Student Experience Transitions model seen through the lens of the PhD approach. Whether you are doing a Prospective or Retrospective PhD by Publication, as the journey continues, stress will be experienced especially when key transitions occur, or deadlines are not reached. The key is identifying and dealing with them quickly.

First Contact and Admissions

When considering whether to do a PhD by Publication, there are a range of concerns that a candidate may have. These can include questions about perceived capability such as 'am I good enough', 'do I have enough time to commit to it,' together with decisions on mode of study and how the study will be funded.

Pre-arrival

Knowing you are about to embark on a challenging study chapter can be both exciting and daunting. Planning for and sorting out the practicalities of this route can be challenging. These could include knowing who to ask for permission, where to locate advice and guidance in the institution's Research Office/Doctoral College, and whether any paid study leave (if you are a member of staff) is available to you as can be the case with other routes.

Arrival and Orientation

The transition from applicant to student on arrival can be overwhelming as you get to grips with all the rules and regulations of this study route. Often, the supervisor may be a colleague so understanding the expectations and boundaries of the student-supervisor relationship is essential to establish from the outset.

Introduction to Study

Once enrolled, the early transition stage of 'introduction to study' can be intense in terms of establishing a study pattern, learning how to balance the workload, accessing your supervisor, and getting used to studying alone which can lead to a sense of isolation. You may be required to undertake a number of mandatory courses to equip you with research skills. It can also be a period of self-doubt because the perception of others within the institution may be that the PhD by Publication route is an 'easier' option. It is not! In the research and publication of each piece, you are honing your craft and you are also contributing recognised building blocks that support the eventual edifice that is your Doctoral oeuvre.

Reorientation and Reinduction

The reorientation and reinduction stages can be the most challenging as you move to mid-cycle in your PhD by Publication. For both prospective and retrospective routes, you may experience loss of focus, problems in the research process (such as obtaining ethical approval for your research, understanding the journal paper publication process and applying appropriate research methods), and struggles and conflict within the scholarly community (including rejection of your journal papers by peers and supervisory issues). As you progress, finding a unifying theoretical approach can also prove problematic, demanding and testing. All these challenges can exacerbate the sense of feeling isolated and lonely, and it is during these stages, withdrawal is more likely.

Outduction

By the time you reach the outduction stage of completion and preparing to leave your study, you may experience a whole range of emotions. These can include worrying about whether your body of work and your connecting thesis are considered good enough by your examiners, how the viva will go, and what will you do if you fail outright or are required to do major modifications. These are all natural reactions, so it is best not to panic! You may also feel exhausted and disengaged from the thesis because you have lived, slept, and breathed it for so long. After years of working towards your PhD by Publication, you may also feel a great sense of loss as the 'need' to dedicate time to this activity stops. Imposter syndrome can also be a common feeling because of the perceptions held by some that it is a less demanding route.

Tips and Advice for Success with a Retrospective/Prospective PhD by Publication

Whereas a traditional PhD is commonly undertaken in both full-time and part-time mode, achieving the publications that lay the foundation for a PhD by Publication and then the production of the thesis itself, are generally pursued via the part-time route. My journey taught me a number of things that I highlight below.

- *Allocate dedicated time to absorb yourself in producing each publication and the final thesis*

- This is easier said than done due to life demands, but putting aside a few continuous days where you can absorb yourself in your thinking and writing (a mini-sabbatical if you can negotiate it) helps the production process. Being organised, self-directed and having good time-management skills are essential too.
- *Know your university's regulations*
- Different HEIs within the UK and globally have very diverse expectations of outputs required for a PhD by Publication. Understanding your own university's PhD by Publication regulations in detail is critical because this will identify the number of publications that are required, the expected shape and scope of the reflective commentary, the expected timeline for a retrospective or prospective route, and the expected currency of a publication for inclusion. Check what publications are acceptable especially whether these include edited books, joint authored publications, and book chapters, and whether there are expectations about the status and impact factors of journal papers. The best way to obtain the information you need is by contacting the University Research Office to ensure you get the most up-to-date regulations (as these can change over time). It is also helpful to have a conversation with the Research Officer charged with the overview of the process, as they may have specific helpful advice.
- *Understanding that supervision/mentorship is different from a traditional PhD*
- When working towards a PhD by Publication, whether you are producing publications that will contribute to the thesis or writing the reflective narrative than connects them and demonstrates your originality and contribution, it is essential that you have a supervisor who understands how a PhD by Publication differs from a traditional PhD route.
- *Create a supportive network*
- A pivotal ingredient for success though is a support network. For me, this was the key difference between my first attempt at achieving a traditional PhD and my successful route to undertaking a PhD by Publication. I benefited during the writing of my later articles and the reflective narrative from strong mentoring from Professor Sally Brown and the other members of the Newcastle group (see Chap. 9). This was critical in achieving a number of things. It exposed me to tangential literature and thinking from disciplines further afield from my area of expertise. It provided a safe space to discuss ideas and think differently. And since my graduation, I have fed forward the support I was given by similarly supporting and mentoring others to write for publication.
- *Maximising your research impact*
- Regardless of the route you are following, look at maximising the impact of your outputs. Do you have research that you could get multiple publications from? When producing publications, especially journal papers where you are re-using different aspects of a central data set, make sure your argument or approach is unique to this publication, otherwise it is unlikely to get published. Also, remember that all published works you are submitting in your thesis must be in the public domain or they will not be able to be included (e.g. confidential research reports cannot be included in most cases).

- *Which journal should you choose to disseminate your work?*
- When choosing where to submit your paper, read the author guidelines very closely, because that will help you decide whether it is suitable and appropriate for your work, and whether the journal is in line with your university's regulations (e.g., any impact factor requirements). Make sure when you write your covering note to the editor (if online submission guidance permits), clearly highlight why the paper is of value to your discipline and what specific contribution it will make to the field. This will help the editor decide whether to send it out for review and to accept it or not if there is disagreement between the reviewers. Additionally, recognise that submitting and getting research published in journals takes considerable time so make allowance for this in planning your completion process.
- *Identifying originality*
- There are various ways to identify the originality of your work. In the production of a paper, your literature review should highlight where there are gaps in the literature and frame your argument as to why and how your paper is contributing to knowledge. Feedback from peer reviewers can also help identify originality and contribution, so make sure you keep a careful record of this so you can highlight it in your reflective narrative why it was considered original at the time of publication.
- *Aim to have a work environment that understands and is supportive of the route*
- Retrospective/Prospective PhD by Publications are still not a common route, although they have become increasingly recognised by universities as important, especially for those that have entered university to work from professional backgrounds. More and more HEIs are acknowledging that it is a beneficial route to offer, as it not only provides continuing professional development, but the publications could contribute to the UK's Research Excellence Framework. Many universities offer this route to staff and alumni but if your university will not support it, or you do not work in a university setting, then you could consider an alternative. There are a small number of universities that offer this route to non-employees and non-alumni, and at the time of writing include the Universities of Huddersfield, Portsmouth, Kent, and Reading. Always phone the university you are interested in though in case they have changed their admission process.
- *Use technology that will assist you*
- Today, there is extensive technology that can help not only in the collection of qualitative and quantitative data, but in its analysis. They are usually free for you to use through your university. For quantitative data, for example, Statistical Package for Social Sciences (SPSS) is commonly used, and for qualitative and mixed-methods research, programmes such as NVivo and Atlas are widely used. Modern voice recognition software makes transcribing interviews much easier and quicker to undertake and can avoid transcribing costs, but make sure you check it carefully for errors.
- *Being passionate about what you are researching and writing about*
- As with any type of study, if you are passionate about the subject when you start, it will help you keep the momentum going. There will be times when you just

cannot face doing anymore, but this is absolutely to be expected following a period of deep immersion! And this is where understanding the pressure points as outlined in my model becomes important. Your feelings and at times exhaustion, are absolutely normal, so you may need to develop strategies to cope with this, such as having routine tasks you can undertake at times when inspiration or analytical ability are in short supply.

- *Writing 'right'*
- Learning how to write for different publications is important and Illeris's compendium (2018) entitled *Contemporary theories of learning: learning theorists ... in their own words* is a useful book to guide those undertaking the Retrospective/Prospective PhD by Publication route to find their authentic voice, building on the scholarly precedents of theorists.
- *Finding your golden thread for your thesis*
- Take time to reflect on your journey. If doing a prospective route, keep a diary of the challenges you have experienced, the motivation and thinking behind your research and each publication, and seek to retain a clear vision of the common thread that binds them. If doing a retrospective route and you already have a number of publications spread over a number of years, you may have no thematic plan at the outset. This could be challenging in finding your connecting strands that pull all your work together for your reflective account, so reflect on each publication to determine what is original in them and look for commonality and thematic synchronicity.
- *Understanding your own specific pressure points*
- If at the start, you recognise the pressure points of doing a PhD, whether a traditional one or by Publication, it can help you plan, recognise when and why you may be feeling the strain (maybe due to intense work or caring responsibilities), and know when and where to ask for help to complete the task. For example, if working in a university, a temporary reduction of workload is common for traditional PhD students during the writing up period.
- *Getting support*
- If you are aware of the pressure points, you are in a better position to understand what normal stress and anxiety is during the different transition stages, and when the situation demands that you should seek support. An extremely useful resource is the Wellbeing Thesis which is an online resource for postgraduate research students to support their wellbeing, learning and research (https://thewellbeingthesis.org.uk). It covers a range of topics including:
    - Why are you engaging in PGR studies?
    - Foundations for success
    - Postgraduate research myths debunked
    - Taking control of the study journey to make it work for you
    - Making the research process work for you
    - Using the available resources.
- *Seeing each publication as a rung on the ladder of PhD success*

- It is critical that every publication is regarded as a successful contribution to the end ambition that is the PhD by Publication, whether achieved by Retrospective or Prospective route, so ensure you celebrate every single one! Remember, that this route is a marathon and not a sprint so each incremental step is one closer to your ultimate goal.
- *Preparing for the Viva*
- Once you have submitted your thesis for examination, it can take up to 6 months (or more) for it to be held. Try and make good use of this time in order to prepare for it. For example, undertake a mock examination under similar conditions to those you would experience in the actual viva, with willing volunteers to stand in for the examiners, possibly even in the actual room where your viva is likely to be held. This provides familiarity with the process so it will not feel quite so daunting on the day, and it will get you thinking about and answering questions you may be asked. Think about presenting your 'golden thread' at a conference in the interim period in order to get feedback that might be useful in the exam. These types of activities will help build confidence for your viva. Importantly, rehearse the crucial central questions that will inevitably be asked in your viva-what makes your research original? What contribution have you made to your discipline/field? And why was your work original at the time of submission? And remember, that by being based on an established body of peer reviewed work, you are well on the way to success because those elements are less likely to be subject to detailed scrutiny than is the case in traditional PhDs.
- *Combating Imposter Syndrome*
- Being in a supportive network with others who are pursuing the same route helps provide confidence. If required to make amendments to a publication and especially your thesis, try to get them done as soon as is reasonably possible. It can be tempting to put the work to one side as exhaustion sets in and the adrenaline from the viva disappears. As soon as you are able to, embrace, own and use your title whether it is on your email address or social media accounts. It will help combat imposter syndrome. And if you can, attend your university graduation ceremony because as you cross the stage, your journey and achievement is not only recognised by peers, family and friends, but you go through a rite of passage where you finally receive the award that you may have felt was elusive for so long.

The Benefits for Me of Doing a Retrospective PhD by Publication

The Retrospective PhD by Publication route helped me achieve a number of transitions in my thinking, writing and self-belief. They are also applicable to someone undertaking a Prospective route. Firstly, throughout the period of my writing of books and journal papers, I read widely and was thereby able to frame my own

thinking and align it with the literature in the field. It enabled me to claim my own place within the canon of recognised work on the student experience and transitions. I moved progressively from low familiarity with literature in the field to a good grasp of the work of other writers.

Secondly, my relatively ill-formulated conceptual understandings of my research area at the start of the process moved to a more advanced (and now widely-recognised) conceptual model central to my work, which enabled me to fully understand my unique contribution and to claim with justice, the originality of my work. As my reading to inform my writing broadened, I was able not only to recognise where I could contribute to change management in universities, but also to become a recognised authority in the field, which led to many invitations to speak at high level conferences.

Thirdly, as I prepared to write the reflective narrative connecting my publications for my Retrospective PhD by Publication, not only did my writing style evolve to match that used in scholarly literature, but also at the same time the complexity of the intellectual rigour required in writing and publishing broadened my knowledge of specialist terminology and vocabulary that I could then use with confidence (Sword, 2017). I also started to use more complex sentence structure to reflect the complexity of the ideas being expressed.

Lastly and most importantly, I went from low in confidence in my capabilities as a scholar to justified acknowledgment of my own abilities as an originator. For many, the completion of a PhD represents the first step in career recognition, but for me this was achieved during the production of the PhD by Publication, because my publications meant that people were already using and acknowledging my work long before the doctorate was submitted. As a result, I gained confidence in my own agency. Looking at the multiple UK and international citations of my publications in order to highlight the impact of my work was an empowering exercise. I could see that I had moved from a university employee (novice in my field) to a recognised (national and international) expert in my field.

Conclusions: Value of the PhD by Publications Route

The value and benefits of the Retrospective/Prospective PhD by Publication routes are numerous. It can provide more time for you to complete, by contrast with traditional routes, which may suit those with other complex and challenging demands on their time. And by writing for publication, you can explore and develop your research in incremental stages, whether working within or outside the university sector. For those working within the higher education sector, it provides a logical route for both the individual who has thereby access to continuing professional development support, and the university who want research active staff across the board, so the knowledge generated can filter into teaching and professional activities.

Takeaway for PhD by Publication supervisors:
Morgan's (2013a) Student Experience Transitions Model can be a useful tool to assist students at different stages of the PhD by Publication. Applied to the context of PhD by Publication, the model provides suggestions for appropriate supervisory support at key stages of the programme.

Takeaway for PhD by Publication candidates:
There are various key stages of completing the PhD by Publication and students need to be aware of the "milestones" of the programme in order to strategically plan ahead. Some of the issues which PhD by Publication candidates need to consider at the outset of their programme include: originality of publications, the "golden thread" (the overarching theme of your thesis), and publication outlets.

References

Bourke, A., Holbrook, A., Lovat, R., & Farley, P. (2004). *Attrition, completion and completion times of PhD candidates*. Paper presented at the AARE annual conference. Melbourne, 28 November–2 December.

Illeris, K. (2018). *Contemporary theories of learning: Learning theorists … in their own words*. Routledge.

Morgan, M. (2013a). *Supporting student diversity in higher education*. Routledge.

Morgan, M. (2013b). *Individual project report -understanding prior feedback experiences of new postgraduate taught (PGT) STEM students' and their expectations and attitudes towards PGT level study at a 1992 institution*. HEA.

Morgan, M. (2014). Patterns, drivers and challenges pertaining to postgraduate taught study-an international comparative analysis. *Journal for Higher Education and Research Development, 33*(6), 1150–1165.

Morgan, M., & Brown, S. (2009). Commencement of the academic year. In S. Denton & S. Brown (Eds.), *Beyond bureaucracy: A practical guide to university and college management*. Routledge.

Park, C. (2005). War of attrition: Patterns of non-completion amongst postgraduate research students. *Higher Education Review (London), 38*(1), 48–53.

Smith, S. (2015). *PhD by published work: A practical guide for success*. Palgrave Macmillan.

Sword, H. (2017). *Air & light & time & space: How successful academics write*. Harvard University Press.

The Wellbeing Thesis. Available online: https://thewellbeingthesis.org.uk

Dr. Michelle Morgan is a national and internally recognised Student Experience Transitions Specialist across all levels of study and is extensively published in the area. She has developed a free portal for staff which provides a range of information and links for anyone interested in improving the student experience in higher education www.improvingthestudentexperience.com

Chapter 11
The Inside Out and Backwards PhD

Neil Alexander-Passe

Abstract This chapter looks at not only a personal journey of gaining a Retrospective PhD by Publication, but the process as well. It is a personal reflection on the difference between the traditional and by publication routes, considering their relative strengths and weaknesses. This chapter discusses two ideas: firstly, the backwards PhD i.e. having the majority of the doctorate approved before starting the PhD study. Secondly, the idea of the inside out PhD: researching and publishing outside of the confines of the academy is described. Through this narrative of experiences, I consider the true worth of the PhD qualification and my own problematic identity as a researcher, academic, and expert.

Introduction

A PhD is perhaps seen as the pinnacle of all academic qualifications, meaning, in a general view, that you have moved from not only studying a subject (a bachelor's degree), to mastering subject knowledge and beginning to teach (a master's degree), to becoming an expert in a topic of the subject (a doctorate degree).

Those who proceed through the system to studying for a doctorate must do so with more than an active interest in a topic, and are presumably looking to take their interests to new depths, and to be able to challenge, not just in a university, but worldwide, through peer-review journals, the development of new knowledge, and the questioning old wisdom. For myself, the completion of the PhD by Publication has been a challenging and interesting journey, the narrative of which I share in this chapter. Through this experience, I have had reason to question not only my own identity as a researcher and a practitioner, but also the nature of the academy and what it really means to be an expert and to be known as such to your peers and to your community.

N. Alexander-Passe (✉)
Edge Grove Prep, London, UK
e-mail: neilpasse@aol.com

© The Author(s), under exclusive license to Springer Nature Switzerland AG 2022

S. W. Chong, N. H. Johnson (eds.), *Landscapes and Narratives of PhD by Publication*, https://doi.org/10.1007/978-3-031-04895-1_11

This journey to a PhD began very traditionally after I had gained a master's degree, in fact an MPhil (Master of Philosophy), which can be seen as a substantial piece of original research, and as technically one down from a PhD in its stated merit. For me, however, the MPhil brought disappointment, as it had originally been posited as a PhD project. After my first supervisor retired, my next supervisor very sadly passed away while I was undertaking a mandatory 6-month research methods course. I was finally given an advisory team to complete my MPhil award in the quickest time possible. This was a real learning journey for me, and underscored the idea that when it comes to undertaking research the right supervisor is key. The effort required to gain a doctorate means that as many as 50% of doctoral students ultimately fail to complete their program (Carter, 2004) and simply do not graduate. The workload can be daunting regardless of the path that is chosen, and in the case of the PhD by Publication, the final submission may be the result of several substantial research projects. Estelle Phillips (2010), author of 'How to get a PhD', who I can count as a good personal friend, asked me a very important question: 'Why do you want a PhD?' An easy enough question to ask, and in her presence, my initial response was to say, 'to prove to everyone I am an expert', or 'to provide those who doubted I would ever get a degree', which is in part based on my own negative school experiences where I was made to feel inadequate due to my unidentified dyslexia. Instead of saying this, however, I simply stayed very quiet. Listening to her, I learnt that perhaps the most important reason to gain a PhD is to develop your knowledge, but it is also about self-development and about gaining the skills and abilities to undertake research, and for the research itself to be both valuable and valued enough to survive the peer-review journal process. Grenfell (2014) in discussing the work of Bourdieu, suggests a PhD is a form of 'cultural capital', and that there is value to having such a status in society, as well as the personal capital from gaining a higher award that can be defined as self-esteem and higher perceived self-worth. In the following section, through my own narrative, I reflect further on these ideas of identity, value and worth.

The Retrospective PhD by Publication

Whilst traditional PhDs can usually result in two to three peer-review journal publications after the dissertation is published, a 'Retrospective PhD by Publication' works in reverse, by requiring you to have already gained the skills and abilities before you start the PhD process, and to have published in excess of three peer-review journal publications. In my own case, I submitted a portfolio of peer-reviewed publications and books to gain entry to my course. It could be argued that I had already achieved the academic status that comes with a series of publications, but there was still this personal need to gain institutional accreditation and recognition, which is perhaps related to my lack of self-worth as a child with undiagnosed and unsupported dyslexia.

The Process

A Retrospective PhD by Publication is based on existing published academic research by the applicant, and in my case, the portfolio was the result of more than 10 years of private research and writing outside the confines of a university. This means the support structure of an institution was simply not there, raising the requirements for the prospective applicant to gain support to, amongst other things, choose research topics, to plan and pilot research, gain suitable samples, manage the research project, analyse the results, and do the final write up. This is no mean feat, and only a certain type of person has the resilience and determination to achieve this. It could be argued that researching and publishing as a non-university student-lecturer, you are an outsider to the research community. However, when speaking to colleagues about the freedom to research outside of grant bidding (as I self-fund my research), a full teaching timetable, and vacation time to research, there was often the sense that my outsider status was in some ways actually a positive.

I believe, however, that a university PhD student is much better supported than I was while working on my own. I was lucky to have a supportive wife who would proofread my writing (as mentioned above, I am dyslexic), and I had a well-paid career in design and later teaching, which meant my research was privately funded. This makes a huge difference and meant that I could choose research projects that interested me, rather than being the ones that research councils felt were worthy of study. It is interesting to note, that even as an outsider, I prided myself in another sense as being an insider researcher, researching disability as someone with a disability (dyslexia and a stammer), so the idea that I studied as an outsider is in some ways contradictory for me, and something that relates to a common experience of those with dyslexia at school. It is not uncommon to feel as an outsider to the world of reading and writing, feeling that academic achievement is impossible, and this makes my own gaining of a PhD even more powerful. This is not the idea of beating those with literacy at their own game; but more about having my voice (and those who I have researched) heard in a language that academics can understand.

I was fortunate as a student, in one sense, in that I had been a traditional PhD student for 2 years, gaining supervision and ethics committee approval for a PhD project many years before I attempted to go down the Retrospective PhD by Publication route; I dropped out of this PhD study as my supervisors would not allow me to change my data gathering methodology to qualitative, from quantitative. I had questioned how data rich the information would be regarding the emotional coping of teenagers with dyslexia. I think having the experience of being a 'traditional PhD student' meant that coming into a 'Retrospective PhD by Publication', I had a certain amount of research training, and believe I could act as my own critic. Part of the PhD process at a university is to learn and accept that you do not know everything, and that a good researcher is not necessarily an expert. Even now while having a PhD, I pull back from allowing people to call me an expert. Why? I think I was ultimately humbled by the PhD experience, learning that only very few can truly be thought of as an expert in their chosen field of study.

So, in the next section, I reflect on my experiences of the Retrospective PhD by Publication process as captured in the following list of key steps and processes that define this qualification from initial idea through to completion.

1. Undertaking substantial private research and peer-review publishing before an application can begin.
2. Next comes the research of suitable universities, with supervisors that might believe in your research project. The value of this should never be underestimated, as with a traditional PhD, you need to find a supervisor that firstly understands your topic, hopefully has a degree of expertise in it, and secondly you can relate and get on with. This relationship is hugely important and can be the making or the crashing of your PhD project. This can take time, and can mean contacting four to six possible supervisors, and developing relationships with them to see if they would be suitable for the task. As a published researcher, this relationship is more of a more knowledgeable colleague than that of a subordinate student. Yes, in the traditional sense they are the master and you are the student, but you have already proven yourself worthy in the eyes of your peers.
3. The next stage is to develop a research proposal, which can take time. Usually, this needs to cover not only (a) the area of study (b) what your research has done (c) why it is original and valid, and (d) why you want to apply for a PhD by Publication.
4. A university will, if interested, invite you in for an interview, on the research you have already undertaken and would like to use for this award. In my case it lasted for 2 hours with 2 professors, a viva chair, and my would-be supervisor (Director of Studies).
5. If you pass the oral defence interview of your previous research, you will work with your Director of Studies to hone your research proposal, and plan the work required to submit, in hopefully 6–12 months, a final submission.
6. The commentary piece, generally an introduction, discussion, and conclusion are designed to tell a narrative that binds your research chapters together. As noted before, mine used several of my peer review journal papers (out of the nine peer review papers considered), and five research projects. This may sound straightforward, but it was not. This can take more than 6 months, and in my case I had supervision meetings every 6–8 weeks via zoom, and some face-to-face on campus.
7. My Director of Studies passed my thesis to someone in their academic faculty, and I had a 1 hour on-line mock viva. This was very interesting and tested my knowledge and ability to defend my research and conclusions.
8. The actual viva can be very terrifying, but also exhilarating, as you are debating your research with an established academic in your field (an external examiner), normally an internal examiner who understands your research, and an internal chair of the viva. In my case I was very happy with the external examiner, but the internal examiner offered a very different perspective, coming from a different discipline. After a 2–3 hour defence of my thesis I was led out of the room for the panel to discuss the thesis and defence, and you are then led back in for the feedback.

9. I believe that in doing a 'Retrospective PhD by Publication' you are in a sense coming into a university institution as a respected 'proven' researcher, rather than as a more traditional unproven PhD researcher, as per the traditional PhD process. So the viva process was more of a 'researcher to researcher' debate rather than a 'student to master' type of interaction, which I believe heightens the value of a Retrospective PhD by Publication.
10. Hopefully you are told you have passed, however the feedback is either: (a) pass without any further changes, (b) pass with minor changes, (c) pass with major changes, (d) fail or downgraded to an MPhil. I passed with minor changes, which the panel go through with you at that time. This is later followed up with the required changes in writing from the chair of the viva.
11. These changes are required within 3–6 months from the viva, and need to be approved by the chair of the viva, based on advice from the external and internal examiners. Strangely, all my main changes came from the internal sociologist examiner, and it turned out that her requests were reduced by the chair of viva before they reached me. This meant that when I sent my internal examiner my suggested changes she questioned why many of her requests were not done, and she sent me her whole list of requested changes. It took a conversation with the chair of the viva to agree which ones I was going to actually do.
12. Finally, I had passed! What a relief! However, looking back, it took a lot out of me, my wife, and family to achieve this PhD award. I think studying for such an award with a young family could be called 'selfish' or a 'vanity' project by some, but I think the self-determination to achieve had earlier in my life been the unthinkable is a personal achievement, especially if your PhD is related to your career, as it is in my case. The title of Dr. in my area of education, where many value 'expert' opinion, is very useful, and the whole research process now allows me, more importantly perhaps, to make sound arguments based on psychological evidence.

The Inside Out PhD

The Retrospective PhD by Publication route, as described above, I believe potentially offers a means to research on your own terms, and in your own timeframe. It values research conducted and published outside of academia, and allows you to follow your own research focus, without having to chase grants or undertake your supervisor's research agenda. It is also a lot cheaper than a traditional PhD and is better suited to being studied part-time, so a student can work around family and work commitments. I think that a PhD is a long process, either by the traditional route or via publication, so the subject matter must maintain your focus and determination. If you are allowed to follow your own research focus, then I believe there is a higher chance you will finish your program. When I talk about an 'inside out PhD' I refer to the research already being published before the PhD is written. By definition, the main contents (the research) are on display for all to see. The actual Retrospective PhD by Publication phase took a further year to complete.

Most PhD's result in one or two published peer-review papers, whereas mine was based on seven peer-reviewed papers, so it could be argued to potentially have more impact, hence why I call it the inside out PhD. Impact here is defined as more chances to be read, cited, and applied to actual practice. It is a shame, in one sense, that I did not manage to do this work via a Russell Group university, which would have raised the profile of the research and therefore it could have been of more practical value. Ultimately, this is where I see the true value of academic work. However, you also gain cultural capital through your external examiner, in my case a very distinguished authority in the field of dyslexia. This helped me reach more people with my work, I am certain.

Emotional Well-Being

As mentioned earlier, a traditional PhD can take 3–5 years and a Retrospective PhD by Publication can be the product of 10 plus years of research, writing, and peer-review journal submissions. It is well-known that peer-review journals can be a very harsh way of publishing, and feedback to your countless hours of dedicated research, analysis and writing can be ripped to shreds in a few lines of feedback. It can take 3–6 months to get feedback and the manuscript might then require minor or substantial amendments before hopefully being resubmitted for publication.

I was fortunate to have found two ex-university PhD supervisors to act as mentors on my academic journey, without them I do not think I would have raised my writing to be suitable for peer-review journal publication. Family are also important, as they are daily support, and can be the difference to giving up for an easy life (I had two sets of young, now teenage twins, so was always told I was being selfish to doing my private writing and book publishing) and carrying on. You need to be selfish in life if you are going to undertake such a project. You need some vision of where you want to go and why. The why was very important to me, to improve knowledge of the trauma of those with dyslexia who have suffered at school, and to personably prove my teachers wrong about me, that I could be academically minded (in fact, my careers adviser said I should be a postman or a mechanic!).

Identity

Linked with emotional well-being, the need for a strong identity, as a researcher, as someone who will ask questions, is very important. The Dr prefix, and being seen as an expert, comes with great responsibility, to be very careful with your opinion. Your views now count, so one must be careful and be the professional that others see you as. I have gained a lot from the experience, and my research and writing skills have improved as a result. Gaining the PhD at 49 years old (meeting my 50th birthday target) was an achievement, and hearing people call you Dr at work is still strange, and I pinch myself sometimes (I am a senior leader in a large secondary

school in north London, UK). There are six others with PhD's in my school and we are seen as bringing expert knowledge to our departments. Having the PhD allows me to challenge the decisions of other educational professionals (educational psychologists, psychiatrists, speech therapists, and heads of special needs in local authorities etc.). I do appreciate the faith put in me from attaining the Dr title and yet I am still mindful that just maybe this authority from a title is misguided. There is no question, however, that we live in a value-based society, and paper-based qualifications have the ability to open doors, both socially and professionally.

Conclusion

What ultimately is the true value of doctoral research? I believe it is actually doing work and research that it is read and that effects change. I am grateful that my research has to date been downloaded more than 20,000 times on academic sites such as ResearchGate. I can also track my work being cited by other researchers in published research, which is another way to measure impact. To some degree, I still feel ambivalent about the academy as a club of experts, and wonder if I will ever feel like I truly belong to this world. It is also true that much of my research gained value and was read before I gained my PhD. What then was the actual value of having completed the Retrospective PhD by Publication? These are important questions to consider, but I still do recognise what I gained from this academic journey, and how it has allowed me firstly to synthesise and thread together the work that I did over the many years of research. The identity and cultural capital from being known as a fully qualified academic has been important, too, and allowed me to reach more people with my work. It is these two things together, then, the process, and what the recognition brings that have ultimately had the most impact on me. This is very much what Estelle Philips taught me right back at the start of this route, that it's the journey, the training, that is where the true value of a PhD lies.

Takeaway for PhD by Publication supervisors:
The retrospective PhD by Publication is suitable for veteran practitioners have some experience in academic writing. It is important to consider students' identity and acknowledge their experience in the industry when discussing a plan for their course of study.

Takeaway for PhD by Publication candidates:
The retrospective PhD by Publication is nothing like a traditional PhD: it is inside-out (research which was done outside of academy) and backward (included work published before the award of the degree). Such a PhD may be appealing to some, especially those who are already prolific writers who want to receive formal recognition of their work and maximise the impact of their publications.

References

Carter, W. Y. (2004). *Six major reasons why graduate students don't finish*. Retrieved 24th July 2022. http://helmut.knaust.info/BD/SixMajorReasons.pdf

Grenfell, M. J. (Ed.). (2014). *Pierre Bourdieu: key concepts*. Routledge.

Phillips, E. (2010, October 1). *How to get a PhD: A handbook for students and their supervisors* (5th ed.). Open University Press.

Dr. Neil Alexander-Passe, based in London (UK), is a well-respected author investigating emotional coping in those with dyslexia. He is an Assistant Headteacher at a leading Prep School outside of London, and an expert special educational needs advisor to the UK's Department of Education.

His latest book is called 'Surviving School as a Dyslexic Teenager: A guide for parents and their Teenager Children'.

Chapter 12
From PhD by Publication to Full-Time Academic: Narratives of Three Women

Shannon Mason, Margaret Merga, and Melissa Bond

Abstract The value of the Prospective PhD by Publication lies in its pragmatic nature, especially to those who envision an academic career, because it aids the transformation of students into independent researchers. However, as a relatively new option for doctoral researchers, particularly in the social sciences, the ways in which the Prospective PhD by Publication contributes to the careers of new researchers is not yet clear. This chapter provides important insights from three Australian women who completed their doctoral training adopting a Prospective PhD by Publication approach, and who have since gone on to full-time careers in academia. Using a collaborative autoethnography design, and guided by theories of academic enculturation and identity development, the study reported explores how the Prospective PhD by Publication has facilitated participants' continuing careers in academia.

Introduction

The Prospective PhD by Publication may be seen as an ideal approach to doctoral training, particularly for those seeking a career in academia, as candidates engage in one of the central aspects of modern academic life, scholarly publishing (Mason et al., 2019). In higher education institutions across the world, the nature and quantity of one's publications and other researchers' engagement with those publications (through citations) play an important role in measuring the 'productivity' and 'quality' of researchers, influencing employment, promotion, and funding opportunities (Norton, 2016). While it may be the case that for some candidates, adoption of a Prospective PhD by Publication may be a factor in gaining employment within academia (Asante & Abubakari, 2020), it is unclear how and if adoption of this

S. Mason (✉) · M. Merga · M. Bond
Nagasaki University, Nagasaki, Japan
e-mail: shan@nagasaki-u.ac.jp

© The Author(s), under exclusive license to Springer Nature Switzerland AG 2022

S. W. Chong, N. H. Johnson (eds.), *Landscapes and Narratives of PhD by Publication*, https://doi.org/10.1007/978-3-031-04895-1_12

relatively new model of doctoral education influences the transition of individuals from doctoral researcher to fully-fledged researcher.

Much of the recent research on the Prospective PhD by Publication model, particularly in the social sciences, revolves around skill development (e.g., Guerin, 2016) and the student experience (Robins & Kanowski, 2008). Indeed, our research to date has centred the experiences of doctoral researchers, with areas of investigation including the challenges that doctoral researchers face (Merga et al., 2020), and the support they receive during candidature (Merga et al., 2020). In this chapter we bring a new perspective to the knowledge body, by centring the voices of graduates after their subsequent entry into the academy. Specifically, the three authors, early career researchers with a common experience of completing a Prospective PhD by Publication in the social sciences, reflect on our doctoral experiences to explore if and how the model has facilitated our development as new researchers.

Conceptual Framework

We foreground our collaborative autoethnographic inquiry with the assumption that academic enculturation is a process of becoming and that the Prospective PhD by Publication can influence this process. Rather than seeing this process of becoming as a unidirectional sharing of knowledge from experts to novice, we view it as stimulated by diverse explicit and tacit learning experiences (Prior & Bilbro, 2012), with researchers 'socially constructed beings' that are shaped as a result of these socially-mediated stimuli (Giampapa, 2011). Learning experiences during both doctoral training and early career are partly rooted in skill and knowledge acquisition in the expected areas of research methods, activities, and processes. However, this process of becoming is also concerned with building knowledge in the more tacit or hidden features such as departmental, institutional and disciplinary politics. Indeed, much of the transfer of knowledge that builds capacity in doctoral students and early career researchers may not be through explicit teaching (e.g., Merga & Mason, 2021), although Jalongo et al. (2014) contend that this tacit absorption method of learning is not necessarily tenable moving forward. We also note that, while completing our Prospective PhD by Publication there was an end point of conferral of the doctorate, beyond that, as early career researchers there is no concrete point of accepted proficiency or completion. Our understanding of learning is that it does not follow a linear pathway, nor does it have a fixed end point (Gravett, 2020); doctoral training is one part of a potentially life-long process. While this positioning is hopeful and offers the excitement of continued growth and improvement, it can also potentially place the novice researcher in a position of perpetual insecurity, where impostor phenomenon may impact on self-efficacy and self-worth (e.g., Parkman, 2016). To this end, we acknowledge that we are writing about a process of becoming that is still being realised, and about identities that are still being formed (see Castelló et al., 2021).

An important part of being enculturated into academia is identifying oneself as one of its members. For doctoral students, producing formal research outputs, such as journal publications and conference presentations, provides recognition of one's work, and can give researchers a sense of validation, particularly when publishing or presenting for the first time (Asante & Abubakari, 2020; O'Keeffe, 2020). It can also lead early career researchers to feel part of the academic community; considering themselves valued and accepted as 'real', which builds their confidence as researchers (Mantai, 2017; Monereo & Liesa, 2020). Conducting a range of hands-on research activities, such as fieldwork, reading articles, teaching students, collaborating with peers, reflecting on methodology, and talking informally about research also leads to feelings of being a researcher (Giampapa, 2011; Mantai, 2017). Researchers who lack a sense of identity, or who suffer from impostor phenomenon (Gardner & Holley, 2011), can experience feelings of self-doubt, depression, and withdrawal (Mantai, 2017). Anxiety around publishing ability, and its connection to employment in particular, can place increased pressure on researchers in a 'publish or perish' culture (Barkhuizen, 2020; O'Keeffe, 2020). Indeed, it has been found that researchers who are granted more autonomy, and who have a strong sense of belonging to their workplace and research community, are more likely to be productive (Horta & Santos, 2020). It is important, therefore, that attention is paid to exploring how to develop a healthy sense of identity as researchers (Hollywood et al., 2020), and to this end, how the Prospective PhD by publication can enable this.

Methods

This study takes a collaborative autoethnographic approach that "seeks to describe and systematically analyze personal experience in order to understand cultural experience" (Ellis et al., 2011, para. 1). Through a collaborative process, participants reflect not only on their own ethnographic narratives, but that of their collaborators, acting as critical peers as they compare, contrast, and probe each others' experiences. In this way, "multiple perspectives and experiences are contested, (and) the singularity of individual perspectives is tamed through intersubjectivity and multivocality" (Hernandez et al., 2017, p. 252). Engaging in a reflexive and relational exercise serves to help us, as researchers who are relatively new to academia, to make sense of and learn from our experiences, and also potentially others who are able to benefit from insights into often unseen, highly personal experiences of social phenomena (Chang et al., 2013).

The three participants in this study are the three authors of this paper, who we refer to respectively as Shan, Margaret, and Mel (pronouns she/her). We are all white women of a similar age (late 30s to early 40s), born and raised in Australia. We all completed our doctoral degrees in the last decade (2017, 2014, and 2020) in the social science field of education, adopting a Prospective PhD by Publication model. We each benefited from enrollment in higher education systems that do not

charge tuition fees for doctoral degrees. At the same time we each had the added responsibility of being mothers to young children. Since conferral of our degrees, we have all pursued an academic career path, and are currently in full-time and permanent (tenured) university positions. We did not move from graduation into a postdoctoral fellowship program, which is not the norm for PhD graduates in the social sciences (Cuthbert & Molla, 2015).

While these similarities facilitate cross-case comparison, there are also unique differences in our circumstances and trajectories. For example, Shan and Margaret were enrolled as domestic students in Australia while Mel completed her degree as an international student in Germany, with the extra challenges of navigating a new culture and language, something Shan also contended with in the final stage of her doctoral training when she relocated to Japan to follow a career opportunity. While Margaret had some experience in academia prior to enrolment, Shan and Mel were comparatively new to the profession. Margaret is a first-generation PhD graduate, Mel a first-generation university graduate, and Shan a first-generation high school graduate. Our current positions are also in different contexts, with Shan employed as an Assistant Professor at a national university in Japan with teaching and research responsibilities, Margaret a Senior Lecturer at a public university in Australia in a research-focused role, and Mel in a professional role at a university in the United Kingdom.

Our collaboration was conducted online, owing to our current locations in three different time zones, and our incompatible and busy schedules meant that an asynchronous approach was most suitable. In a shared document hosted on Google Drive, we engaged in a 'conversation' concerning our own development as newly indoctrinated researchers, and the role of the Prospective PhD by Publication in that development. The interaction continued for a period of around 3 months (late June to late September 2020), whereby at different times we posed questions, added written responses to each others' questions, and added comments and follow-up questions to elicit more detailed and reflective information from each other. While the questions for discussion were not predetermined, we were informed by our conceptual framework, and thus encouraged to consider our own sense of becoming and belonging in academia, and to connect our narratives to our experiences adopting a Prospective PhD by Publication, although it must be noted that separating the specific model from the doctoral education experience more generally is often challenging.

The final transcript of our communication was almost 9000 words, with each of the participants making a generally equal contribution. In analyzing the textual data, we conducted a thematic analysis whereby after multiple readings of the text, initial "descriptive, low inference codes … useful in summarizing segments of data", were applied (Elliot, 2018). Through analytic and comparative reflection, these codes were in turn reviewed, refined and organized into four themes that capture commonalities across the contributions of each of the three participants (Saldaña, 2016). Taking the advice of Braun and Clark (2006), the themes have been given descriptive names to clearly illustrate to the reader the main findings of the study that they each represent. These findings are presented in the following section, bringing in

illustrative and explanatory quotes (Corden & Sainsbury, 2006), while also reflecting on the extant literature. We take this opportunity to emphasize that as an autoethnographic study, our findings are the result of a subjective interpretation of our own personal experiences, and while we hope that others may draw insights from them, the findings are not an attempt to describe a 'typical' experience.

Findings and Discussion

Our pathway from doctoral researcher to a full-time academic position was facilitated by the completion of a PhD by Publication. Our research in this space has suggested that the Prospective PhD by Publication may be an ideal option for those looking to pursue an academic career (Mason et al., 2019). While we were all motivated to complete a PhD in order to make a contribution to our relative fields, and particularly as education researchers "to improve students' learning and experiences" (Margaret), the choice to adopt a Prospective PhD by Publication more specifically was strongly motivated by a desire to gain employment as researchers.

> I saw that publications could help my chances of securing a career in academia, and as a mature aged student with young children, I couldn't really justify undertaking a PhD even with a scholarship unless I could obtain employment from it. (Margaret)

Through our ongoing conversations there was consensus that we each felt that adopting a Prospective PhD by Publication model was an important factor in our having secured an academic position either slightly before or soon after degree conferral. The "competitive publication record" and "get(ting) my name out there sooner" (Mel) that came as a result of publishing during candidature may be attractive to hiring committees, without which Shan feels she "certainly wouldn't have a tenured position". In a study analysing a prestigious postdoctoral fellowship in astronomy and astrophysics, successful recipients at the point of application had a median of 14 publications and six first-author publications (Pepper et al., 2018), and this is reflective of the high expectations for early career researchers in other contexts (Acker & Webber, 2017; McKay & Monk, 2017; Smith, 2017).

> Because I had started a PhD, and because I had a couple of papers, it was pretty easy to get a contract, and then once I was here and built a profile locally [in Japan], by the time I finished my PhD and had further built my publication record, and a bit of good timing, I was able to secure a tenured position. (Shan)

For Mel, although there were times she questioned the adoption of the Prospective PhD by Publication model as it extended the period of her candidature ("I kept thinking to myself, had I just done my case study … I would have been finished by now"), she reflects that had she not been involved in publishing different aspects of her study, "I wouldn't have been exposed to so much literature, nor the range of methodologies that I employed". Mel notes that her securing a university position was "a direct result of one of my Prospective PhD by Publication methodologies".

The PhD by Publication provided an opportunity for us to understand and prepare for some of the realities of academia. As one of the major aims of doctoral education is to develop skills and knowledge to perform research, as emerging scholars, doctoral researchers may be in peripheral positions within universities (Elmgren et al., 2016). However, in completing a PhD by Publication, we feel that through active engagement in the publishing process, we have gained intimate insights into the inner workings of academia. This is particularly true for Shan, as like other first-generation doctoral students she was challenged by a lack of understanding of the academic system (Gardner, 2013).

> When I started my PhD I knew NOTHING! ... I literally didn't know what a peer-reviewed paper was. Obviously, I understood there was some kind of review process involved, but I was like 'how do you know if a paper is peer reviewed or not? Who reviews it? How do you get your paper reviewed? How does that work? I had no idea. I guess I would have learned a lot through a traditional PhD, but I think a lot of the procedures and knowledge that others might already have, I was able to learn through the active engagement … This is a game, and you have to know the rules, and I think I understand them a bit better having done the Prospective PhD by Publication. What I mean is, I think that a PhD would have given me knowledge of how things work on paper, the glossy idea of how things should work, but the Prospective PhD by Publication showed me some of the reality. (Shan)

One of the starkest realities of modern academia is the intense focus on metrics that revolve around publications. As Margaret noted, in her first academic role which had an equal teaching/research focus including the writing and coordination of new units, without knowledge of the extent of this reality: "I could easily have let my first academic teaching role consume all of my attention". But her experiences showed her the value of publications, and as a result, "I was constantly aware of the need to generate new research and publications so that I could maintain my value as an employee and secure ongoing work in academia." At the same time, she was also in a more informed position to determine whether or not an academic career was for her.

> I've now been working as an academic since 2015 and while I've faced many challenges and many rejections, I think I've found a job that I really love (most of the time). I think doing the Prospective PhD by Publication also gave me the opportunity to realise that the staple of academic existence, publishing, is a thing I like to do. (Margaret)

In many established higher education systems around the world, the academic job market is extremely competitive, with a growing number of doctoral graduates vying for fewer (secure) academic positions. In what is still regularly referred to as an 'alternative' career path, doctoral graduates are increasingly following careers outside of the higher education system, not only due to necessity but are increasingly desirous of careers in the public and private sectors where their research and analytical skills are highly valued (e.g. Larson et al., 2013; McCarthy & Wienk, 2019). Thus doctoral researchers who adopt the Prospective PhD by Publication may be able to better discern whether or not a career path in academia is one they wish to pursue.

For Mel, the Prospective PhD by Publication made her aware of the intense and multifaceted nature of the job. While work-related stress is a key indicator of

intention to leave among early career academics, with impacts felt more heavily by female academics than their male counterparts (Dorenkamp & Weiß, 2018), Mel was able to not only see the realities, but importantly to learn first-hand how others effectively navigate the demands of the job.

> The Prospective PhD by Publication prepared me for the realities of academia by introducing me early to the wide variety of journal styles and editorial policies, as well as learning to be an octopus and manage multiple projects simultaneously. I was constantly in awe of how many projects my supervisor was involved in, but then quickly realised that this was exactly what the Prospective PhD by Publication was requiring me to do. I wouldn't change it, though, and now always recommend a Prospective PhD by Publication to people interested in doing a PhD and who are interested in a career in academia. (Mel)

We believe that knowledge of the academic system facilitated by the Prospective PhD by Publication has been integral to the decisions we have made in our career paths leading up to and since our degree conferral. As an additional example, a knowledge of the workplace realities for researchers in the Australian system was one of the considerations that led Shan to seek employment in Japan, where the chance of obtaining tenure without making a heavy sacrifice of family and personal life was much more realistic. However, we wish to underscore that knowledge of the realities of a system does not negate the need to question those realities, including the continued and pervasive focus on quantitative measures of research quality and researcher productivity, and the lack of availability of stable employment for graduates.

Feeling like a researcher is not predicated necessarily on publication, but it is an important step along the way. Publishing of research is an important part of modern academia, and so successful navigation of the scholarly publishing process may contribute to a strengthened academic identity. Mantai (2017) found that doctoral students gain validation through research outputs, and particularly peer reviewed publications. Through our communication we elicited the point at which we each first felt like a researcher, and while the points identified are all different, they are all closely connected to publishing.

> I started feeling like a 'real' researcher when I began being approached to peer review for journals in my field. And not just any old journals, pre-eminent journals, in the top ten of the Education & Educational Research SSCI list. For me, this blew my mind – that they knew who I was and that they considered my knowledge/skills valuable enough to be able to help others. (Mel)

> I felt like a real researcher after getting the 'we read your paper and can tell you are an expert in the field' emails from the predatory publishers. Even at the time it was an annoyance, but I just felt that my name must have been 'out there' enough for them to find it, and for me it felt like a step toward being a real researcher. (Shan)

In both of these cases it was not the publications *per se* that resulted in feeling like a researcher, but the visibility and acknowledgement (genuine or spurious) of the contribution to the field that was a result of having previously been published. In the case of Margaret, who already had two publications in a different field before she began her doctoral training, it was not until her subsequent publications that she noted a change in perceptions of her position as a researcher.

> It was actually getting my second or third paper accepted during candidature, the one where I went beyond very basic raw analysis of quantitative data for the first time. My PhD used qualitative and quantitative methods, but I came into the course with low skills and knowledge in both, and it took a huge amount of self-directed learning to lift my preparedness in research methods to a point of competence. When that paper was accepted, I felt like I could be a researcher. (Margaret)

Common to our stories is that it is not a single instance of publishing that translates to a changed sense of self, an observation noted by Shan responding to Margaret, "interesting that for you, and me too, it wasn't the first paper that was the turning point, for me I had a few under my belt before I started thinking of myself as a researcher." Indeed, it is through publishing that our skills and knowledge develop, and our contribution to our respective field is recognized and validated, and this in turn has facilitated a strengthening of our developing academic identities.

Some of the acknowledged challenges of the PhD by Publication model were in hindsight seen as beneficial for growth as a researcher. There are a number of experiences that may be unique to the Prospective PhD by Publication model that opens up doctoral researchers to different challenges. Mel "was really worried about whether I would be good enough to get published", and such feelings of inadequacy -- the so-called impostor phenomenon, is common among researchers regardless of their career phase, but may be particularly acute for doctoral and early career researchers (Byrom et al., 2020; Jöstl et al., 2015).

> After submitting my papers, there was the feeling of dread when I saw the subject heading in my emails; I'd have to click the email open to find out if the paper got over the line or not. Once a couple of the papers were accepted, I started breathing easily, and believing it was going to happen. But up to that point going for a Prospective PhD by Publication really felt like gambling. (Margaret)

One of the possible outcomes of the peer review process is a rejection of a manuscript, which is a regular part of professional life for academics, even if it is often hidden from view (Clark et al., 2007). Indeed, we all experienced rejection during our candidature. While this caused distress at the time, we all now reflect on these early experiences of rejection as being important opportunities to hone our skills and build resilience. Margaret concedes that even though engaging in the publication process "was definitely scary at times … I didn't ever regret taking that pathway, even when I got rejected, as I felt like I was learning so much". Shan concurs, noting that having supervisory support allowed her to learn how to deal with rejection in a pragmatic and practical way.

> Having my supervisor there, who was widely published, to be honest about how often she gets rejected, talking through the politics of it all, helping me to process it emotionally but also getting really practical - what is the feedback that we can take from the reviewers or editor, what can we ignore, what's our next journal, how can we adjust the paper so that it suits the style and audience of the journal, and just moving forward. I think if I had my first rejection without that support, it would have been harder to process, to not take it personally. (Shan)

In a traditional model of doctoral education where a single monograph is submitted at the end of the doctoral journey, "the unabashedly messy aspects of the research

process are often hidden from published view" (Clark et al., 2007, p. 110). A challenge of the Prospective PhD by Publication is that sharing of research takes place throughout the candidature, sometimes quite early, for example through the publication of systematic reviews of existing literature, as recommended by Pickering and Byrne (2013). Further, research is also often reported in more than one outlet, with Australian doctoral researchers including an average of four outputs within their final submission, although we note that some of these may not be published at the time of submission (Mason et al., 2020). What this means is that learning and growth, including significant changes in focus or conceptual framing of a study, become more visible. Indeed, we each reported instances where later in our candidatures we questioned our earlier published work.

> The downside of Prospective PhD by Publication is that you are publishing while you are still a spring chicken, and still producing knowledge and learning. So in my earliest papers, I am a bit simplistic in my discussion of aliterate students i.e. those who can read, but choose not to. My own research found that being simplistic is a really bad idea as so many interwoven factors are involved in aliteracy; is it really a 'choice' when skill level and cognitive issues are at play alongside preferences for time use? I guess this will be life as an academic; constantly finding things that prove your earlier position to be insufficient or incorrect though, so I can live with it, especially as I subsequently did a 'take down' of my own earlier views. (Margaret)

Both Mel and Shan developed a theoretical framework for their respective studies, but which they subsequently changed as their knowledge of the complexities of their research topics developed. Mel notes that this allowed her to see that learning as a researcher is "ongoing, iterative". Shan felt that the changes to the framework, which would become evident through inclusion of the divergent articles, would negatively impact her ability to confer her degree, as the examination panel will "find out that I f***ed up!". However,

> My supervisor stressed very clearly that is part of the process, and just because something is published doesn't make it [exempt] from critique or further development (by oneself or others), and so I came eventually to cherish it for the growth that it reveals - and was very transparent about this in my Prospective PhD by Publication. I worried it would work against me but one of the examiners actually said they loved the transparency. (Shan)

The Prospective PhD by Publication requires doctoral researchers to adapt their writing styles and formats to suit the voice, scope, audience, and guidelines of each outlet, rather than adopting a consistent style across a single and coherent monograph. While this is a common challenge for doctoral researchers who adopt the model (Pretorius, 2017), Margaret found that "doing a Prospective PhD by Publication made me really communications-focused. Writing the papers, you are always thinking about how to reach potentially diverse journal audiences". Further, through the exposure gained from work published during her candidature, Margaret was also able to take advantage of opportunities to produce outputs for non-academic audiences, "I did my first newspaper interview a few months before I finished my PhD, and I got to see my research findings reach the general public". While there is increasing expectation on early career and established researchers to communicate to audiences beyond academia (Cain et al., 2018; Merga & Mason, 2020), we note

that during the Prospective PhD by Publication the main focus was on reaching academic audiences.

Conclusion

This study aimed to investigate, through a collaborative analysis and reflection on the first-hand experiences of the authors, the role that completing a Prospective PhD by Publication has played in our early experiences of academia. We acknowledge our socially privileged position within academia, being white, able-bodied, globally mobile, native-speakers of English, beneficiaries of tuition-free higher education, and working in established higher education systems. This inherited social capital, and a myriad of other factors have no doubt also played a role in our career trajectories.

With that in mind, we have collectively come to the belief that completion of the Prospective PhD by Publication, and specifically our engagement with the publication process and development of portfolio of publications, has played an integral role not only in our securing of an academic position, but in navigating the politics and processes of modern academic institutions, in essence aiding our enculturation into academia. Challenges encountered during candidature helped us to prepare for the realities of academia, although we continue to struggle with the tension between a desire to gain acceptance into the academy, and the need to question many of the forces that are impacting it, including but not limited to an intense focus on "rationalization, accountability, doctoral student employability and professionalization" (Poyatos Matas, 2012, p. 164). Having our work published was an important mediator of researcher identity, however, it was not the only determining factor in this complex ecosystem of researcher development.

For readers who may be contemplating the adoption of the Prospective PhD by Publication, as with all models, there are both advantages and disadvantages to consider when weighing up the best option for one's own unique situation. It is possible that engagement in scholarly publishing and the development of a publication portfolio may place one in a more competitive position, but with a diminishing pool of jobs and an increasing number of graduates, there is no guarantee of securing (stable, ongoing) employment. While we view in hindsight the well-acknowledged challenges of the Prospective PhD by Publication positively as opportunities for learning that have facilitated our understanding of academia, this might not have been the case had we not been successful in finding employment. In any case, we need to acknowledge that an academic career, or even employment more generally, may not be a motivation for all doctoral researchers. With a range of motivations, the diversification of approaches to doctoral education can be seen as a step in the right direction, with doctoral researchers provided with more choice to select an approach that best suits their needs and goals.

In addition, this chapter could not have been written had our attempts to create a Prospective PhD by Publication been unsuccessful, which is a real possibility in this

undertaking. In any case, there is much more to 'being' an academic than 'knowing the ropes', and doctoral education, regardless of the approach, is likely to only take us so far. As we write there are still times when we don't feel confident in our abilities nor in our position within academia. This reflects the re-imagining of the doctoral journey as described by Gravett (2020), as one with the researcher experiencing "multiple and ongoing becomings, evolving and changing throughout a doctorate and beyond" (p. 2). Within this fluid and non-linear journey, a unifying aspect of our approach is our commitment to reflexivity, and through sharing how both the rewards and challenges of the Prospective PhD by Publication contributed to our academic orientations and identities, we hope to support future doctoral students who seek to pursue the same path, while also drawing the attention of higher education institutions and doctoral supervisors to facets of the experience that they could look to support or mitigate as needed.

Takeaway for PhD by Publication supervisors:
When being approached by prospective students, supervisors can make clear to them the values of the Prospective PhD by Publication, especially how the learning journey can prepare them for their academic career. However, they should also be transparent about the potential challenges.

Takeaway for PhD by Publication candidates:
Adopting the Prospective PhD by Publication can potentially be beneficial to students who would like to develop an academic career. Valuable and practical lessons can be learned through completing such an approach, namely navigating the academic publishing process and developing a track record of scholarly outputs, but consideration should be made about the pros and cons in light of each individual's needs and goals.

References

Acker, S., & Webber, M. (2017). Made to measure: Early career academics in the Canadian university workplace. *Higher Education Research & Development, 36*(3), 541–554. https://doi.org/10.1080/07294360.2017.1288704

Asante, L. A., & Abubakari, Z. (2020). Pursuing PhD by publication in geography: A collaborative autoethnography of two African doctoral researchers. *Journal of Geography in Higher Education, 45*(1), 87–107. https://doi.org/10.1080/03098265.2020.1803817

Barkhuizen, G. (2020). Identity dilemmas of a teacher (educator) researcher: Teacher research versus academic institutional research. *Educational Action Research, 29*(3), 358–377. https://doi.org/10.1080/09650792.2020.1842779

Braun, V., & Clark, V. (2006). Using thematic analysis in psychology. *Qualitative Research in Psychology, 3*(2), 77–101. https://doi.org/10.1191/1478088706qp063oa

Byrom, N. C., Dinu, L., Kirkman, A., & Hughes, G. (2020). Predicting stress and mental wellbeing among doctoral researchers. *Journal of Mental Health*. Advance online publication. https://doi.org/10.1080/09638237.2020.1818196

Cain, K., Shore, K., Weston, C., & Sanders, C. B. (2018). Knowledge mobilization as a tool of institutional governance: Exploring academics' perceptions of "going public". *Canadian Journal of Higher Education, 48*(2), 39–54. https://doi.org/10.47678/cjhe.v48i2.188072

Castelló, M., McAlpine, L., Sala-Bubaré, A., Inouye, K., & Skakni, I. (2021). What perspectives underlie 'researcher identity'? A review of two decades of empirical studies. *Higher Education, 81*, 567–590. https://doi.org/10.1007/s10734-020-00557-8

Chang, H., Ngunjiri, F. W., & Hernandez, K. A. C. (2013). *Collaborative autoethnography*. Routledge.

Clark, C., Brody, M., Dillon, J., Hart, P., & Heimlich, J. (2007). The messy process of research: Dilemmas, process, and critique. *Canadian Journal of Environmental Education, 12*(1), 110–126. https://cjee.lakeheadu.ca/article/view/625/517

Corden, A., & Sainsbury, R. (2006). *Using verbatim quotations in reporting qualitative social research: The views of research users*. Social Policy Research Unit. https://www.york.ac.uk/inst/spru/pubs/pdf/verbusers.pdf

Cuthbert, D., & Molla, T. (2015). PhD crisis discourse: A critical approach to the framing of the problem and some Australian 'solutions'. *Higher Education, 69*(1), 33–53. https://doi.org/10.1007/s10734-014-9760-y

Dorenkamp, I., & Weiß, E. (2018). What makes them leave? A path model of postdocs' intentions to leave academia. *Higher Education, 75*, 747–767. https://doi.org/10.1007/s10734-017-0164-7

Elliot, V. (2018). Thinking about the coding process in qualitative data analysis. *The Qualitative Report, 23*(11), 2850–2861. https://nsuworks.nova.edu/tqr/vol23/iss11/14

Ellis, C., Adams, T. E., & Bochner, A. P. (2011). Autoethnography: An overview. *Forum: Qualitative Social Research, 12*(1), A10. https://www.qualitative-research.net/index.php/fqs/article/viewArticle/1589/3095

Elmgren, M., Forsberg, E., Lindberg-Sand, Å., & Sonesson, A. (2016). *The formation of doctoral education* [Report]. Lund University. https://uu.diva-portal.org/smash/get/diva2:916582/FULLTEXT01.pdf

Gardner, S. K. (2013). The challenges of first-generation doctoral students. *New Directions for Higher Education, 163*, 43–54. https://doi.org/10.1002/he.20064

Gardner, S. K., & Holley, K. A. (2011). "Those invisible barriers are real": The progression of first-generation students through doctoral education. *Equity & Excellence in Education, 44*(1), 77–92. https://doi.org/10.1080/10665684.2011.529791

Giampapa, F. (2011). The politics of "being and becoming" a researcher: Identity, power, and negotiating the field. *Journal of Language, Identity & Education, 10*(3), 132–144. https://doi.org/10.1080/15348458.2011.585304

Gravett, K. (2021). Disrupting the doctoral journey: Re-imagining doctoral pedagogies and temporal practices in higher education. *Teaching in Higher Education, 26*(3), 293–305. https://doi.org/10.1080/13562517.2020.1853694

Guerin, C. (2016). Connecting the dots: Writing a doctoral thesis by publication. In C. Badenhorst & C. Guerin (Eds.), *Research literacies and writing pedagogies for masters and doctoral writers* (pp. 31–50). Brill.

Hernandez, K. A. C., Chang, H., & Ngunjiri, F. W. (2017). Collaborative autoethnography as multivocal, relational, and democratic research: Opportunities, challenges, and aspirations. *a/b: Auto/Biography Studies, 32*(2), 251–254. https://doi.org/10.1080/08989575.2017.1288892

Hollywood, A., McCarthy, D., Spencely, C., & Winstone, N. (2020). 'Overwhelmed at first': The experience of career development in early career academics. *Journal of Further and Higher Education, 44*(7), 998–1012. https://doi.org/10.1080/0309877X.2019.1636213

Horta, H., & Santos, J. M. (2020). Organisational factors and academic research agendas: An analysis of academics in the social sciences. *Studies in Higher Education, 45*(12), 2382–2397. https://doi.org/10.1080/03075079.2019.1612351

Jalongo, M. R., Boyer, W., & Ebbeck, M. (2014). Writing for scholarly publication as "tacit knowledge": A qualitative focus group study of doctoral students in education. *Early Childhood Education Journal, 42*(4), 241–250. https://doi.org/10.1007/s10643-013-0624-3

Jöstl, G., Bergsmann, E., Lüftenegger, M., Schober, B., & Spiel, C. (2015). When will they blow my cover? *Zeitschrift für Psychologie, 220*(2), 109–120. https://doi.org/10.1027/2151-2604/a000102

Larson, R. C., Ghaffarzadegan, N., & Xue, Y. (2013). Too many PhD graduates or too few academic job openings: The basic reproductive number R_0 in academia. *Systems Research and Behavioral Science, 31*(6), 745–750. https://doi.org/10.1002/sres.2210

Mantai, L. (2017). Feeling like a researcher: Experiences of early doctoral students in Australia. *Studies in Higher Education, 42*(4), 636–650. https://doi.org/10.1080/03075079.2015.1067603

Mason, S., Merga, M. K., & Morris, J. E. (2019). Choosing the thesis by publication approach: Motivations and influencers for doctoral candidates. *The Australian Educational Researcher, 47*, 857–871. https://doi.org/10.1007/s13384-019-00367-7

Mason, S., Merga, M. K., & Morris, J. E. (2020). Typical scope of time commitment and research outputs of thesis by publication in Australia. *Higher Education Research & Development, 39*(2), 244–258. https://doi.org/10.1080/07294360.2019.1674253

McCarthy, P. X., & Wienk, M. (2019). *Advancing Australia's knowledge economy. Who are the top PhD employers?* [Report]. Australian Mathematical Sciences Institute. https://amsi.org.au/wp-content/uploads/2019/04/advancing_australias_knowledge_economy.pdf

McKay, L., & Monk, S. (2017). Early career academics learning the game in Whackademia. *Higher Education Research & Development, 36*(6), 1251–1263. https://doi.org/10.1080/07294360.2017.1303460

Merga, M. K., & Mason, S. (2020). Sharing research with academia and beyond: Insights from early career researchers in Australia and Japan. *Learned Publishing, 33*(3), 277–286. https://doi.org/10.1002/leap.1296

Merga, M. K., & Mason, S. (2021). Doctoral education and early career researcher preparedness for diverse research output production. *Journal of Further and Higher Education, 45*(5), 672–687. https://doi.org/10.1080/0309877X.2020.1807477

Merga, M. K., Mason, S., & Morris, J. E. (2020). 'What do I even call this?' Challenges and possibilities of undertaking a thesis by publication. *Journal of Further and Higher Education, 44*(9), 1245–1261. https://doi.org/10.1080/0309877X.2019.1671964

Monereo, C., & Liesa, E. (2020). Early career researchers' identity positions based on research experiences. *Higher Education Research & Development*, 1–18. https://doi.org/10.1080/07294360.2020.1835834

Norton, A. (2016). *Mapping Australian higher education 2016* (Vol. 7, pp. 1–119). Grattan Institute. https://grattan.edu.au/wp-content/uploads/2016/08/875-Mapping-Australian-Higher-Education-2016.pdf

O'Keeffe, P. (2020). PhD by publication: Innovative approach to social science research, or operationalisation of the doctoral student … or both? *Higher Education Research & Development, 39*(2), 288–301. https://doi.org/10.1080/07294360.2019.1666258

Parkman, A. (2016). The imposter phenomenon in higher education: Incidence and impact. *Journal of Higher Education Theory and Practice, 16*(1), 51–60. https://articlegateway.com/index.php/JHETP/article/view/1936/1836

Pepper, J., Krupińska, O. D., Stassun, K. G., & Gelino, D. M. (2018). What does a successful postdoctoral fellowship publication record look like. *Publications of the Astronomical Society of the Pacific, 131*, a995.

Pickering, C., & Byrne, J. A. (2013). The benefits of publishing systematic quantitative literature reviews for PhD candidates and other early-career researchers. *Higher Education Research & Development, 33*(3), 534–548. https://doi.org/10.1080/07294360.2013.841651

Poyatos Matas, C. (2012). Doctoral Education and Skills Development: An International and Historical Perspective. *Revista de Docencia Universitaria, 10*(2), 163–191.

Pretorius, M. (2017). Paper-based theses as the silver bullet for increased research outputs: First hear my story as a supervisor. *Higher Education Research & Development, 36*(4), 823–837. https://doi.org/10.1080/07294360.2016.1208639

Prior, P., & Bilbro, R. (2012). Academic enculturation: Developing literate practices and disciplinary identities. In *University writing. Selves and texts in academic societies* (pp. 19–32). Brill.
Robins, L., & Kanowski, P. (2008). PhD by publication: A student's perspective. *Journal of Research Practice, 4*(2), A3. http://jrp.icaap.org/index.php/jrp/article/view/136/154
Saldaña, J. (2016). *The coding manual for qualitative researchers*. Sage.
Smith, J. (2017). Target-setting, early-career academic identities and the measurement culture of UK higher education. *Higher Education Research & Development, 36*(3), 597–611. https://doi.org/10.1080/07294360.2017.1288708

Dr. Shannon Mason is an education researcher with an interest in early career researcher development. After being one of the first in her faculty to complete a PhD by Publication, she has published a range of papers on various aspects of publishing during doctoral training, particularly for those in the social sciences.

Dr. Margaret Merga conducts research in higher education, literacy and librarianship. She is currently working on an array of projects including exploration of use of metrics for supporting claims of research excellence, and early career researchers' experiences. She is an author of three recent books on reading, librarianship and quantitative analysis.

Dr. Melissa Bond pursued her PhD at the University of Oldenburg in Germany, following a decade as a high school teacher. Her interests include the flipped learning approach, international research collaboration, systematic review methodology, and the complex interplay of digital learning environments, teacher-student relationships, and learning activities.

Chapter 13
The PhD by Publication as Preparation for Work in the 'Performative University'

Patrick O'Keeffe

Abstract The PhD by Publication enables doctoral students to develop a track record in publishing throughout their PhD candidature. In addition, this model helps students develop skills in writing for publication. Resultantly, the PhD by Publication offers a model which enables students to enhance their employment prospects upon completion of their doctorate. Nevertheless, it is also essential to consider how the experience of the PhD by Publication model can reshape the experience of being a doctoral student. In this chapter I draw upon the concept of performativity, developed by Ball (J Educ Policy 18:215–228, 2003), to reflect on my own PhD by Publication and subsequent experiences as a lecturer. This model suited the multidisciplinary approach I adopted throughout my PhD, and assisted me to develop a good publication record throughout my candidature. However, I came to measure and understand my value as a doctoral student in relation to performance metrics such as quantifiable research outputs and citation counts. Now, after 3 years working in an academic position, I reflect upon how the PhD by Publication prepared me to negotiate an academic world where performance is intensely scrutinised, constructed and interpreted in relation to narrow, quantifiable measures of success and achievement.

Introduction

The PhD by publication is a model for completing PhD research incorporating published research, including peer-reviewed journal articles, book chapters and proceedings, as outputs arising from the same research project (Lee, 2010; Badley, 2009; Park, 2005). Within the PhD thesis, these publications are often drawn together by an exegesis explaining the scholarly contribution of this work and the

P. O'Keeffe (✉)
RMIT University, Melbourne, VIC, Australia
e-mail: patrick.okeeffe@rmit.edu.au

© The Author(s), under exclusive license to Springer Nature Switzerland AG 2022

S. W. Chong, N. H. Johnson (eds.), *Landscapes and Narratives of PhD by Publication*, https://doi.org/10.1007/978-3-031-04895-1_13

overarching argument, with a series of 'inter-chapters' which explain how each publication contributes to the overall thesis (Guerin, 2016, p. 40). This differs from the conventional or traditional monograph thesis, which is completed as a monolithic text (Sharmini et al., 2015).

As Dowling et al. (2012, p. 300) describe, the emergence of the PhD by Publication reflects the changing nature of PhD research, and the massification of doctoral studies, as tertiary institutions seek to offer alternate pathways to completing PhD study. In addition, the growing popularity of the PhD by Publication can be related to the increasing pressure placed upon doctoral candidates to publish throughout their candidature, and the anxiety that many candidates experience in relation to weakening markets for academic labour (Aprile et al., 2020; Horta & Santos, 2016; Sharmini et al., 2015; Merga, 2015; Prasad, 2013; Lee & Kamler, 2008; Robins & Kanowski, 2008). For some PhD candidates, the PhD thesis itself has become devalued, with a greater emphasis placed upon the publications which can be produced from doctoral research (Huang, 2020). The focus on publishing has a marked effect on how doctoral students perceive the value of the thesis, with Huang (2020, p. 10) stating:

> The cruellest effect that the domination of market productivity produces on doctoral students is dispossessing their sense-making of writing a doctoral thesis. This effect can be seen in Mei[1] when she said, 'with no publication, there is little meaning to writing a thesis'.

As Huang (2020) describes, doctoral students graduating from a PhD without publications often experience "symbolic violence" through the perceived lack of ability to produce measurable writing outputs.

This shift in the focus of PhD research highlights two key tensions associated with the pressure to publish, and the role of the PhD by Publication in facilitating the development of skills in writing for publication, and also a publishing track record. First, is the framing of the PhD in terms of producing employable research graduates (Krause-Jensen & Garsten, 2014; Olssen & Peters, 2005), which primarily highlights the shift towards PhD study in terms of human capital formation and the production of researchers who have demonstrated a capacity to produce countable research outputs (Connell, 2013). Second, this highlights the commodification of education itself, and the construction of researchers in training as commodities, who perceive of their research as having value primarily through the outputs which they produce (Ball, 2016; Dowling, 2008).

A considerable body of recent research has examined the significance of supports provided to PhD students completing a PhD by Publication, including the role supervisors, peers and mentors, and the institutional and cultural support provided by the university (Merga & Mason, 2020, 2021; Asante & Abubakari, 2021). This research provides important insights into the key personal and institutional supports necessary to assist students to succeed in their completion of the PhD by Publication, which can help to guide universities, supervisors and students. In this

[1] A participant in Huang's study.

chapter, I reflect on my own experiences as both a student completing a PhD by Publication, and then as an academic seeking to establish a career in academia.

This auto-ethnographical study examines my experience of how the PhD by Publication contributed towards my own construction as a neoliberal academic subject. First, I explore research examining the PhD by Publication in the context of the neoliberalisation of tertiary education in countries such as Australia. Following this, I consider the emergence of the PhD by Publication alongside the increasing emphasis on performativity in academia, before considering how this can impact the emerging academic identities of PhD candidates. In reflecting on my own experiences of the PhD by Publication and subsequently, employment as a lecturer, I consider how the PhD by Publication shaped my own identity and values as a researcher. Finally, I consider the PhD by Publication, and subsequent focus on publications, as a key response to the pervasive precarity of academic labour. Critically, I suggest that through completing this model of PhD research, I was able to gain an insight into academic life in the performative university, developing not just the skills for publishing research, but also the skills and mindset which are necessary to survive the cultures of audit and measurement which define the experiences of present-day academics.

PhD by Publication

Within the university where I completed my doctoral studies, the PhD by Publication is a relatively new way of approaching a PhD in social science. Early in my candidature, I attended an information session where presenters explained the merits of the PhD by Publication to a group of doctoral candidates. A senior academic was in attendance, and they appeared to view their role in proceedings as needing to discourage us bright young things from taking this option; out of concern that the PhD by Publication would lead to the ruination of doctoral research, and ultimately, the end of tertiary education as we know it. I can recall this academic stating that the credibility of the PhD was at stake, because 'there are some journals that will publish anything'. Such concerns often overlook the fact that for many students, research comprising theses completed by PhD by Publication has been cross-examined and critiqued by a significant number of academics within the student's discipline (Dowling et al., 2012, p. 300).

As Lee (2010, p. 14) stated, such resistance can result from "the deeply held set of beliefs about the necessary value and benefit of engaging in the single extended dissertation as the primary outcome and evidence of the successful completion of a period of doctoral training". Similarly, research exploring the PhD by Publication has reflected upon questions of legitimacy, consistency and quality of this model of scholarship (Jackson, 2013; Badley, 2009; Brien, 2009; McWilliam et al., 2005). Thus, opposition to the PhD by Publication is often grounded in concerns around the merits of this approach, and the potential for the students' own individual contribution to the thesis to be less clear.

Benefits of the PhD by Publication

Despite representing a challenge to the orthodoxy in the social sciences, there are some considerable benefits for PhD students to be adopting this model of scholarship. An often-overlooked aspect of the PhD by Publication is that it enables the PhD research to be approached as a series of mini-research projects (Dowling et al., 2012, p. 295; Guerin, 2016). As Dowling et al. (2012) suggest, this approach is particularly well suited to interdisciplinary PhD research, allowing students using multiple approaches and research methods in their scholarship to pursue a series of discreet articles under the umbrella of the PhD thesis. To an extent, this approach can make the PhD research appear more achievable than the conventional thesis (Guerin, 2016). My own decision to follow this approach was largely driven by the nature of my research which incorporated different research methods and drew upon a range of disciplines, including geography, sociology, political economy and supply chain management. From my perspective, completing a PhD by publication was inherently logical, as it allowed me to follow different threads in my research, through a series of discreet projects.

Most frequently, however, research exploring the PhD by Publication has focused on the capacity of this model to support students' opportunities to develop a track record in publishing throughout candidature (Asante & Abubakari, 2021; O'Keeffe, 2020; Jackson, 2013; Grant, 2011; Robins & Kanowski, 2008). This reflects an interesting shift in how students completing a PhD by Publication perceive the value of their research during candidature in relation to the PhD thesis itself. To a significant extent, the emphasis on numbers of publications represents the value of the PhD in terms of the quantifiable outputs which are produced throughout this time. Associated with the focus on countable research outputs, are suggestions that students are equipped to develop skills in writing for publication, identifying journal articles, responding to feedback from peer-reviewers, negotiating submission procedures and developing peer networks, both locally and internationally (Guerin, 2016; Horta & Santos, 2016; Sharmini et al., 2015). As in the development of a publication record during candidature, this reflects the researcher training which is undertaken during the PhD research which would otherwise have been completed post-PhD (Horta & Santos, 2016).

However, reflecting on both my PhD candidature and my first 3 years following graduation, I suggest that the primary skill which is learned throughout the PhD by Publication, is the capacity to perform as an academic in neoliberalised tertiary education institutions. In this sense, performance represents performativity, and the responsibility to perform according to technologies of audit, performance measurement and benchmarking (Krause-Jensen & Garsten, 2014; Ball, 2012). In this construction, individuals bear the burden of responsibility for performance, who are required to "make themselves up" according to the ways in which that performance is measured (Krause-Jensen & Garsten, 2014, p. 3).

As if to emphasise the influence of these metrics upon my work, I published an article in *Higher Education and Research Development* describing the re-shaping of

my own value as a PhD candidate in response to quantitative measures of performance (O'Keeffe, 2020). One of the reviewers of this article suggested that my own experience was not necessarily different to that of an academic, post-graduation. This comment has caused me to reflect differently upon my own training as a PhD candidate completing a PhD by Publication. What if the training that I was completing was not so much about writing for publication, or about publishing research or even about developing a publication record and completing a PhD? What if the PhD by Publication actually allowed me to understand what life as an academic is really like? As I highlight in this chapter, the PhD by Publication trains candidates to become ideal subjects within the performative university.

PhD by Publication and the Performative University

As Lee (2010, p. 16) explains, a traditional PhD thesis demonstrates a candidate's ability to conduct research, while the PhD by Publication provides evidence of the candidate's ability to "articulate the findings of the research to a public audience". This reflects the very visible learning which a PhD by Publication candidate experiences, as being performed "front of stage", as opposed to the "backstage" learning of a student completing a conventional thesis (Huang, 2020, p. 2). For some, this might be quite an uncomfortable experience. However it reflects a significant shift in the emphasis of the PhD, and the changing expectations and demands upon PhD students (Jackson, 2013; Park, 2005). The PhD candidate is no longer able to have that singular focus on the thesis, regardless of which model of completion they are adopting. Candidates experience a high degree of pressure to publish during candidature, whether this is imposed by the faculty which they are part of, imposed by supervisors or self-imposed (Lei, 2021; Jackson, 2013; Lee & Kamler, 2008; Park, 2005). Publications, in this regard, reflect the capacity of the PhD candidate to be productive, demonstrate their value to their faculty (and prospective faculties) and show their ability to perform according to metrics that measure research output and quality (Guerin, 2016; Park, 2005).

However, it is important to reflect on the changing relationship between tertiary institutions and governments, whereby government pressure to improve research performance has had significant implications for universities (Boud & Lee, 2005). In turn, this has re-shaped the experience of doctoral candidates. As Boud and Lee (2009, p. 7) have highlighted, the growing popularity of the PhD by Publication can be understood as "a visible response to policy led pressures for research productivity within the performative university". While pressure to publish is imposed on candidates, and reproduced through discourses that reinforce the "publish or perish" mantra (Xu & Grant, 2020; Aprile et al., 2020), deciding to complete a PhD by Publication is in many ways a pragmatic response to the changing nature of academia in neoliberalised universities and societies. Productivity and efficiency are often conflated with quality, and the quality of academics is frequently distilled to the quantitative research and teaching outputs they are able to produce (Park, 2005).

Neoliberalism and Performativity

As in many Western countries, the emergence of neoliberalism in the 1980s in Australia contributed to a fundamental shift in how governments perceived the purpose of tertiary education (Chesters, 2018; Connell, 2013). Successive Australian Governments sought to frame education as a private good, situating education as a commodity to be purchased in markets, rather than a public good (Chesters, 2018; Connell, 2013). As Ball (2016, p. 1049) highlights, the commodification of tertiary education repositions the state from being a provider of education, to a contractor of education services and a facilitator of markets for education. As Ball (2016, p. 1049) describes, the state is able to manage education as a private good, through its management of markets, the conceptualisation of education, including research, as a product, and its use of technologies of performance management and audit to maximise the efficient and productive use of resources by tertiary institutions.

Subsequently, this framing compelled education institutions to conduct themselves as profit-seeking firms, competing for the custom of students (Connell, 2013). Associated with this shift, was the introduction of fees for local students, the construction of tertiary education as an export industry, overly reliant upon income from international students, and the intensive casualisation of academic labour (Connell, 2013, p. 102). Recently, the Australian Government has restructured student fees, placing a greater burden on students to fund their education through its Job Ready Graduates Package (Papadopoulos, 2021). This approach reduced government support for students enrolled in the humanities, with social science courses now among the most expensive degrees to study in Australia (Papadopoulos, 2021).

However, as Ball (2016, p. 1048) highlights, the most significant shifts associated with neoliberal reforms to tertiary education are those which are not always easily recognisable:

> …reform is made up of small, incremental moves and tactics, a ratchet of initiatives and programmes that introduce new possibilities and innovations into policy and practice which, once established, make further moves thinkable and doable, and ultimately make them obvious and indeed necessary.

Ball (2012, 2016) is referring to the mundane and practical changes that reshape the experience of academics in the neoliberal university, including the introduction of benchmarking, performance measurement, auditing of faculties and individuals' performance, which profess to enhance accountability, but which serve to monitor, discipline and punish people working in academia (Smith, 2017). The use of technologies of performance to govern academic labour through quantitative metrics, has been described as creating an audit culture which necessitates the production of countable research outputs (Lei, 2021; Guerin, 2016; Krause-Jensen & Garsten, 2014; Dowling, 2008). In this context, that labour which can be quantified and measured has value, and the capacity to produce outputs can determine an academic's quality and value (Olssen, 2016). As Ball (2016, p. 1050) describes, these apparently mundane technologies:

> …change what it means to be educated, what it means to teach and learn, what it means to be a teacher. They do not just change what we do; they also change who we are, how we think about what we do, how we relate to one another, how we decide what is important and what is acceptable, what is tolerable.

In this regard, the commodification of education represents more than just a transition from a public to private realm, but also has necessitated the management of that commodity (Lei, 2021). In this context, research is conceptualised as research outputs, researchers become "units of resources" (Ball, 2016, p. 1053). Drawing on the development of governmentality by Miller and Rose (2008) and Dean (1999), I suggest that the rationality of markets employed in the privatisation and commodification of education, is operationalised through the technologies of audit, performance review and benchmarking, which are utilised to govern the performance of universities, faculties and individuals, to maximise the productive use of resources (Ball, 2016). In turn, Ball (2016, p. 1050) refers to the changes 'in here', reflecting the internalisation of the logics and technologies of performativity (Dowling et al., 2012). In this sense, neoliberalisation in education is not just imposed upon academics, but it is also enacted by academics (Dowling et al., 2012). Academics are compelled to reorganise their own behaviours, values, relationships and priorities to accord with what is demanded by the performance technologies which govern their employment (Ball, 2003, 2015, 2016; Dowling et al., 2012; Dowling, 2008).

In this context, performance is quantified, made countable, knowable and able to be acted upon (Lei, 2021; Sutton, 2017; Ball, 2012, 2016; Kelly & Burrows, 2011). Academics, too, are compelled to make themselves visible and countable, to ensure that their labour can be measured, and can compare favourably with metrics that determine their quality, relative to others (Guerin, 2016; Ball, 2016). The value of the research is clarified through its conceptualisation as an 'output'. It is valuable because it can be counted, in terms of the numbers of publications produced and the impact of those publications (Lei, 2021; Huang, 2020; Guerin, 2016; Ball, 2016). Thus, a PhD by Publication reflects how academia has changed in recent decades. The PhD candidates are able to demonstrate their capacity to perform as a productive unit, their ability to produce countable research outputs, and their ability to perceive knowledge as having value through its dissemination to a public audience (Lee, 2010; Park, 2005).

Identity Formation and PhD Research

As Ball (2003) has reflected upon, the emergence of cultures of audit and measurement have the potential to undermine previously held values for established academics. In this context, it is important to reflect on the implications of performativity upon emerging academics, such as PhD candidates. As many have suggested, doctoral study is a significant period of identity development (Xu & Grant, 2020; Aprile et al., 2020; Dowling et al., 2012). As Xu and Grant (2020, p. 1503) describe, this is

a period of transformation for doctoral students, whereby the doctoral student are as engaged in forming their identities as academics, as they are in producing research.

Drawing on performativity, and associated technologies of performance, Dowling et al. (2012) and Ball (2016) describe neoliberalisation of universities as not only reforming education, but also producing and reforming researchers as productive individuals. Performativity requires individuals who organise themselves and their work according to performance targets, as enterprising subjects who are calculable, and seek to add value to themselves (Ball, 2003). To perform in this manner is to be responsible, with performativity working to create boundaries around what can be considered as the responsible deployment of academic labour (Peters, 2017; Ball, 2012). This construction of performance, and the responsibilisation of academics through the compulsion to perform, contributes to the development of the neoliberal self (Ball, 2012; Dowling, 2008). Sutton (2017, p. 628) describes this identity as an active agent which seeks to maximise their advantage, through calculating actions and outcomes. In this regard, the neoliberal academic is compelled to engage their entrepreneurial selves, to not only make their outputs countable, but also visible, as they curate their own individual brand (Vallas & Prener, 2012; Ball, 2016). In turn, as Ball (2015, p. 299) argues, numbers that are used to gauge our performance come to "define our worth, measure our effectiveness and, in a myriad of other ways, work to inform or construct what we are today". While Aprile et al. (2020) highlight the capacity of early career academics to manage and resist the imposition of a neoliberal academic identity, I reflect on my own experience of completing a PhD by Publication and subsequent transition to academia, to consider how the pervasiveness of performance technologies has engaged my own neoliberal, entrepreneurial self.

PhD by Publication: Becoming a Productive Unit

Assuming an Entrepreneurial Identity

Upon commencing my PhD studies, I had intended to complete a conventional PhD thesis, while attempting to publish articles throughout my candidature. After discussing this approach with my primary supervisor who raised the prospect of a PhD by Publication, I decided that pursuing a PhD by Publication would allow me the best opportunity to develop a publishing track record alongside the completion of my PhD. As mentioned, this approach also supported my multidisciplinary approach to the topic of my research, and also enabled me to envisage the research as a series of smaller projects. As many authors have highlighted (Guerin, 2016; Horta & Santos, 2016), this model enabled me to effectively develop the skills associated with publishing research, including writing for publication, writing for a range of audiences in different disciplines, negotiating submission procedures and responding to the feedback of peer reviewers. My experience was no different to this, and

undoubtedly the development of these skills throughout my candidature supported my attempts at publishing research.

However, I suggest that the most significant skills learned through this process were those skills associated with performativity. As I became increasingly concerned with my publication record, and the publications I could demonstrate through my PhD, I began to organise my time around the need to be always writing for publication. Further into my PhD by Publication, all the reading that I did was wholly centred around developing ideas for publication. As my publications increased, first appearing in peer reviewed conference proceedings and then up to Q1 journals, I started to value myself as a researcher in terms of my publication outputs. For me, while the PhD thesis was an ambition that I had ever since commencing undergraduate studies, I started to consider my PhD thesis as a secondary concern. What mattered most, were my publications, and my capacity to continually produce research outputs. I measured my worth in terms of the numbers of publications that I was producing, compared this with other people completing PhD by Publication, with others completing PhD studies, and came to think of myself as a researcher in terms of my ability to be productive and efficient. Publications became the currency that I traded on, the means through which I interpreted my own value.

The irony is that my PhD research focused on the reconstruction of Australian farmers' identity as self-reliant, productive, individualised, entrepreneurial units, who operated within an increasingly marketised agricultural sector. I wrote about the construction of the 'good farmer' as being a business-minded entrepreneur who is able to maximise the productive use of their resources, and the marginalising impacts of reductionist, responsibilising policy discourses upon farming communities. I developed this research while assuming that I was a step removed from the processes that I was observing and analysing. However, at the same time, I was also cultivating my entrepreneurial identity. I was in the process of creating my own brand, as a productive and efficient researcher, who could not only meet publishing benchmarks but also exceed them. I began to recognise that I also operated within a neoliberalised sector, where the productive use of resources was valued above all else. As the farmers that I was studying were being acted upon to value, prioritise and maximise the efficiency of their farm operations, I too was being acted upon, to prioritise the maximisation of my own efficiency as an academic.

However, this is a key learning of the PhD by Publication. Academia might hold pretensions to higher level thinking, knowledge and understanding of the world that we are studying. Yet, survival in academia is primarily due to the capacity of academics to develop and hone the skills that contribute towards the production of research outputs, and repeat those skills over and over again as efficiently as possible, for maximum productive output. In this sense, the conventional PhD thesis is a relic of a long-gone era in academia. One research output from 3 years of work does not measure favourably against most university benchmarks. The PhD by Publication, on the other hand, prepares graduates for this world of audit and measurement, where the phrase 'publish of perish' reflects the tenuous academic existence. The skills developed through the PhD by Publication, such as writing for publication and learning to navigate publication processes certainly help negotiate

this existence. Above all, my experience is that I emerged from the PhD by Publication with a strong sense of what I needed to do, in order to carve out some sort of career in a sector where careers are becoming increasingly scarce. That was, to make myself calculable, to consider my work primarily in terms of the outputs that I can produce.

This also presents a great conundrum. I know that I am being acted upon, and I know that I am being entrepreneurial, that I am engaging in brand-creation. I know that I am organising myself according to the very logics and technologies which my research critiques. However, I also know, through my PhD by Publication, that this is what life as an academic is like. Having aspired to work in academia for 15 years, and overcoming some considerable challenges to reach this position, there is a sense that I have no alternative but to play the game (Lei, 2021). Reflecting on the PhD by Publication in this way, there is a sense that this not only represents the evolution of the PhD, but also the evolution of academia. In particular, the sense that within a neoliberal, performative university sector, where education is highly commodified, the PhD by Publication teaches candidates to develop the skills, values and mindset which will enable them to produce quality research and teaching outputs, as the commodities which academics now trade in (Lei, 2021). In this sense, the PhD by Publication reflects not only the emergence of a more skilled-focused form of PhD scholarship which is used by candidates to enhance their employability, but also reflects the increasingly entrenched cultures of audit and measurement in academic, which have ultimately influenced academic practice and academic identity (Papadopoulos, 2017; Sutton, 2017; Ball, 2016).

Negotiating Precarity

I can reflect on the construction of my neoliberal self, and reflect upon how easily I have acquiesced into the performative university; complying with the need to be calculable and visible as a productive unit. However, it is also worthwhile reflecting on the broader context in which this shift occurs. Fundamentally, life as an academic is highly precarious. As Guerin (2016), Jackson (2013) and Xu (2020) have highlighted, academic labour markets have weakened considerably in recent years, in Australia and elsewhere. In an Australian context, at some universities over 70% of teaching and lecturing work is completed by sessional academics, while permanent, full time academic positions are increasingly scarce (Harris et al., 2020). It is likely that no people involved in academia are as aware of this as PhD candidates, many of whom complete a high sessional teaching workload during their candidature, and for whom graduation can mean the transition from PhD research to labour markets with limited opportunities for secure academic work.

As a PhD candidate, I experienced a high degree of anxiety in relation to my employment prospects, and found that this increased the closer I came to graduating from my PhD research. This led to considerable feelings of vulnerability, and a

sense that, with a young family that I was reluctant to ask to move to all corners of the globe in search of work, my prospects of finding secure employment following my candidature were minimal. I consoled myself by calculating my potential to earn a living through sessional teaching, and vowed to keep writing throughout the periods of unemployment.

My one hope, was that I could use my PhD by Publication to produce enough research outputs, to develop a competitive track record that might demonstrate my productive value to prospective employers. In this regard, publications acted as a kind of defence mechanism against the precariousness that I experienced (and to a large extent, still experience). I have lamented the reconstruction of the academic existence that can be observed in the neoliberalised education sector in Australia, and the bearing that this has upon the soul of the academic, as Ball (2016) describes. Yet in many ways, there are no other options for graduating PhD candidates. Thus, reshaping myself as a productive unit to demonstrate capability against quantitative performance metrics is a wholly pragmatic and rationale response to this pervasive precarity in academia (Aprile et al., 2020). My first contract following graduation was achieved primarily because my Associate Dean was impressed with the numbers of publications I had produced throughout my PhD. There is no disputing that while academics lament the limitations of blunt instruments such as course experience surveys and quantifiable metrics that determine research output and impact, these measures are used to order us.

If a PhD candidature is a form of academic apprenticeship, why would it do anything other than prepare a PhD graduate for this world? Remaining in academia demands that we, as academics, retain a constant focus on publishing, ordering our teaching around the measures that determine the value of our teaching and organising our time according to what productive use we can make of that time. The PhD involves a significant dedication of time, effort, emotion and perseverance. As completion nears and the realisation of what academic life is like dawns on the PhD candidate, there is a sense that, having come this far, there is no turning back.

The PhD by Publication provides candidates with a preview of academic life. Moreover, the PhD by Publication gives candidates the skills, training and insight to survive in this environment. By the time a student emerges from their candidature through a PhD by Publication, they are already well attuned to the need to publish in high-quality journals, they know that rejection is just something that happens, and they know that there is no option but to keep trying. In addition, they are accustomed to measuring their own performance, in line with the performance measures and benchmarks which determine an academic's productivity and value. This is beneficial in relation to funding, promotion and employment opportunities. In this regard, while my PhD by Publication enabled me to develop skills in publishing, and helped me to build a competitive publication record, primarily I learned how to be an academic in an ultra-competitive education sector, where I am constantly aiming to outrun my own vulnerability and precarity.

Conclusion

To a significant extent, the emergence of the PhD by Publication reflects the growing pressures on PhD graduates to both publish research during their candidature, but also to graduate from their PhD research with a track record in publishing. This pressure can come from the university and from supervisors, as research has highlighted (Xu, 2020; Xu & Grant, 2020; Huang, 2020). In my experience that pressure was predominantly self-imposed, in the knowledge that if I were to pursue a career in academia, I would need to demonstrate a capacity to publish research. This pressure is also created through observing the intensified casualisation in academia and the challenges of working as a casual academic during candidature, highly competitive labour markets and at the time of my candidature, a Federal Government which has been hostile towards universities and researchers, and the humanities in particular. The precarity of this experience is reinforced by the reproduction of messages which reinforce the "publish or perish" mantra. From my perspective, I certainly did not expect to secure a job once graduating from my PhD, and thought it was quite unlikely that I would find any semblance of secure employment in Academia. Even now, working in what could be considered a relatively secure position, restructuring of university funding in Australia, coupled with the dramatic decline in revenue for Australian universities through the Covid-19 pandemic, has meant that I continue to exist in a highly precarious state.

The PhD by Publication provided a distinct fit with my mixed methods, interdisciplinary research, enabled me to engage with a wide range of peer reviewers as part of a collaborative approach to developing my writing skills and research focus and build my publication record throughout my candidature. To an extent, the PhD by Publication shifts the focus of PhD research towards skill development and competencies associated with publishing, as well as reshaping that research as more of a collective effort. In addition, the focus on publishing enabled me to become more accustomed with publishing processes and requirements, and ultimately, develop a relatively competitive publishing record.

However, fundamentally, completing a PhD by Publication enabled me to develop a stronger sense of what I needed to do, to give myself a chance of pursuing a career in academic. Primarily, this meant that I needed to cultivate my own neoliberalised, entrepreneurial academic identity. I needed to prioritise work that I believed could lead to countable research and teaching outputs. I needed to make sure that all the work I did do, could eventually lead to something which could be counted. I needed to be aware of the metrics that determined my value, and reconfigure my performance to align with those metrics. In this regard, when Ball (2016) describes performativity in terms of the changes "out there" and "in here", it makes perfect sense to me, as a person who has graduated from a PhD by Publication, who has researched the construction of neoliberal subjects in agriculture. As Ball (2016, p. 1050) describes "all too often I find myself implicated in the practices I describe", which reflects my own experience of realising that I too have been constructed as a neoliberal subject.

However, despite this reconfiguration of the self in these terms, what options are there for PhD researchers, both commencing and graduating? To a significant extent, my reshaping as an entrepreneurial subject was a protective mechanism against the precarity and vulnerability I experience, while also offering a glimmer of hope for an academic career. In a world where research outputs are used to measure our value as academics, the PhD by Publication provides, from my perspective, the most logical, rational and yes, pragmatic means through which PhD Candidates can approach their research if they wish to pursue a career in academia. It not only indoctrinates students into the realities of academic life, it provides students with a chance of developing a competitive edge in highly competitive, highly precarious labour markets.

Takeaway for PhD by Publication supervisors:
Supervisors need to be cognizant of the values that they are enculturating their students into, including the narrow and quantifiable definition of academic success. Supervisors need to perform a double duty: on the one hand, supervisors are responsible for preparing candidates for the reality of academia; on the other, students need to understand the limitations of the prevalent view of success.

Takeaway for PhD by Publication candidates:
Pursuing the PhD by Publication can be seen as a pragmatic response to the job market requirements in academia. It builds up your publication portfolio and develops your voice as an independent and respected researcher.

References

Aprile, K., Ellem, P., & Lole, L. (2020). Publish, perish, or pursue? Early career academics' perspectives on demands for research productivity in regional universities. *Higher Education Research & Development, 40*(6), 1–15. https://doi.org/10.1080/07294360.2020.1804334

Asante, L., & Abubakari, Z. (2021). Pursuing PhD by publication in geography: A collaborative autoethnography of two African doctoral researchers. *Journal of Geography in Higher Education, 45*(1), 87–107.

Badley, G. (2009). Publish and be doctor-rated: The PhD by published work. *Quality Assurance in Education, 17*(4), 331–342.

Ball, S. (2003). The teacher's soul and the terrors of performativity. *Journal of Education Policy, 18*(2), 215–228.

Ball, S. (2012). Performativity, commodification and commitment: An I-Spy guide to the neoliberal university. *British Journal of Educational Studies, 60*(1), 17–28.

Ball, S. (2015). Education, governance and the tyranny of numbers. *Journal of Education Policy, 30*(3), 299–301.

Ball, S. (2016). Neoliberal education? Confronting the slouching beast. *Policy Futures in Education, 14*(8), 1046–1059.

Boud, D., & Lee, A. (2005). 'Peer learning' as pedagogic discourse for research education. *Studies in Higher Education, 30*(5), 501–516.

Boud, D., & Lee, A. (2009). *Changing practices of doctoral education*. Taylor & Francis.

Brien, D. (2009). Unplanned educational obsolescence: Is the 'traditional' PhD becoming obsolete? *M/C Journal, 12*(3), 1–3.

Chesters, J. (2018). The marketisation of education in Australia: Does investment in private schooling improve post-school outcomes? *Australian Journal of Social Issues, 53*, 139–157.

Connell, R. (2013). The neoliberal cascade and education: An essay on the market agenda and its consequences. *Critical Studies in Education, 54*(2), 99–112.

Dean, M. (1999). *Governmentality: Power and rule in modern society*. Sage Publications.

Dowling, R. (2008). Geographies of identity: Labouring in the 'neoliberal' university. *Progress in Human Geography, 32*(6), 812–820.

Dowling, R., Gorman-Murray, A., Power, E., & Luzia, K. (2012). Critical reflections on doctoral research and supervision in human geography: The 'PhD by publication'. *Journal of Geography in Higher Education, 2*, 293–305.

Grant, C. (2011). Diversifying and transforming the doctoral studies terrain: A student's experience of a thesis by publication. *Alternation, 18*(2), 245–267.

Guerin, C. (2016). Connecting the dots: Writing a doctoral thesis by publication. In C. Badenhorst & C. Guerin (Eds.), *Research literacies and writing pedagogies for masters and doctoral writers* (pp. 31–50). Brill.

Harris, J., Smithers, K., & Spina, N. (2020). *More than 70% of academics at some universities are casuals. They're losing work and are cut out of JobKeeper*. https://theconversation.com/more-than-70-of-academics-at-some-universities-are-casuals-theyre-losing-work-and-are-cut-out-of-jobkeeper-137778

Horta, H., & Santos, J. (2016). The impact of publishing during PhD studies on career research publication, visibility and collaborations. *Research in Higher Education, 57*, 28–50.

Huang, Y. (2020). Doctoral writing for publication. *Higher Education Research & Development*, 1–14. https://doi.org/10.1080/07294360.2020.1789073

Jackson, D. (2013). Completing a PhD by publication: A review of Australian policy and implications for practice. *Higher Education Research and Development, 32*(3), 355–368.

Kelly, A., & Burrows, R. (2011). Measuring the value of sociology? Some notes on performative metricization in the contemporary academy. *The Sociological Review, 59*(2), 130–150.

Krause-Jensen, J., & Garsten, C. (2014). Neoliberal turns in higher education. *Learning and Teaching, 7*(3), 1–13.

Lee, A. (2010). When the article is the dissertation: Pedagogies for a PhD by publication. In C. Atchison, B. Kamler, & A. Lee (Eds.), *Publishing pedagogies for the doctorate and beyond*. Routledge.

Lee, A., & Kamler, B. (2008). Bringing pedagogy to doctoral publishing. *Teaching in Higher Education, 13*(5), 511–523.

Lei, J. (2021). Neoliberal ideologies in a Chinese University's requirements and rewards schemes for doctoral publication. *Studies in Continuing Education, 43*(1), 68–85.

McWilliam, E., Lawson, A., Evans, T., & Taylor, P. (2005). 'Silly, soft and otherwise suspect': Doctoral education as risky business. *Australian Journal of Education, 49*(2), 214–227.

Merga, M. (2015). Thesis by publication in education: An autoethnographic perspective for educational researchers. *Issues in Educational Research, 25*(3), 291–308.

Merga, M., & Mason, S. (2020). Perspectives on institutional valuing and support for academic and translational outputs in Japan and Australia. *Learned Publishing*, 1–10. https://doi.org/10.1002/leap.1365

Merga, M., & Mason, S. (2021). Mentor and peer support for early career researchers sharing research in academia and beyond. *Heliyon, 7*(2), 1–10.

Miller, P., & Rose, N. (2008). *Governing the present: Administering economic, social and personal life*. Polity.

O'Keeffe, P. (2020). PhD by publication: Innovative approach to social science research, or operationalization of the doctoral student…or both? *Higher Education Research and Development, 39*(2), 288–301.

Olssen, M. (2016). Neoliberal competition in higher education today: Research, accountability and impact. *British Journal of Sociology of Education, 37*(1), 129–148.

Olssen, M., & Peters, M. (2005). Neoliberalism, higher education and the knowledge economy: From the free market to knowledge capitalism. *Journal of Education Policy, 20*(3), 313–345.

Papadopoulos, A. (2017). The mismeasure of academic labour. *Higher Education Research and Development, 36*(3), 511–525.

Papadopoulos, A. (2021). Social work after Tehan: Reframing the scope of practice. *Australian Social Work*. https://doi.org/10.1080/0312407X.2021.1874032

Park, C. (2005). New variant PhD: The changing nature of the doctorate in the UK. *Journal of Higher Education Policy and Management, 27*(2), 189–207.

Peters, M. (2017). From state responsibility for education and welfare to self-responsibilisation in the market. *Discourse: Studies in the Cultural Politics of Education, 38*(1), 138–145.

Prasad, A. (2013). Playing the game and trying not to lose myself: A doctoral student's perspective on the institutional pressures for research output. *The Organ, 20*(6), 936–948.

Robins, L., & Kanowski, P. (2008). PhD by publication: A student's perspective. *Journal of Research Practice, 4*(2), 1–20.

Sharmini, S., Spronken-Smith, R., Golding, C., & Harland, T. (2015). Assessing the doctoral thesis when it includes published work. *Assessment and Evaluation in Higher Education, 40*(1), 89–102.

Smith, J. (2017). Target-setting, early-career academic identities and the measurement culture of UK higher education. *Higher Education Research and Development, 36*(3), 597–611.

Sutton, P. (2017). Lost souls? The demoralisation of academic labour in the measured university. *Higher Education Research and Development, 36*(3), 625–636.

Vallas, S., & Prener, C. (2012). Dualism, job polarisation, and the social construction of precarious work. *Work and Occupations, 39*(4), 331–353.

Xu, L. (2020). Moving between fantasies, fallacies and realities: Students' perceptions of supervisors' roles in doctoral publishing. *Teaching in Higher Education*, 1–15. https://doi.org/10.1080/13562517.2020.1832065

Xu, L., & Grant, B. (2020). Doctoral publishing and academic identity work: Two cases. *Higher Education Research & Development, 39*(7), 1502–1515.

Patrick O'Keeffe is a lecturer in the Bachelor of Youth Work and Youth Studies program at RMIT University. Patrick teaches and writes in multidisciplinary fields including political and rural sociology, critical human geography and political economy. Patrick is interested in how processes of marketisation, privatisation and financialisation affect young people, and how young people challenge and resist these processes. He completed a PhD by Publication in 2018.

Chapter 14
Conclusions: Demystifying the PhD by Publication and the Research Road Ahead

Neil H. Johnson and Sin Wang Chong

Abstract This concluding chapter draws together some of the emergent themes from the papers presented within this collection on the PhD by Publication, and does so by first of all providing a socio-historical context for the recent interest in this qualification route. We describe developments in academic culture and suggest that the PhD by Publication is one small part of much broader changes in how the academy functions within contemporary society. Two clear and interrelated themes are then developed and suggested for further research. Firstly, work on the development processes and linguistic characteristics of a developing genre are signposted. Relatedly, the way that academic identities are negotiated and motivated within the expanding vision of what it is to be an academic is suggested as an important area for further examination.

Rethinking the Value of Doctoral Education

In reviewing the content chapters of this book once more, we are struck by range and depth of the contributions and it is our hope that the landscapes and narratives contributed by our authors will indeed come to play a small part in establishing the PhD by Publication as a well-respected route to academic achievement and the recognition that this confers. Following Atkinson (1996) we place the central text of the PhD by Publication, as well the processes that create it, within the socio-historical moment. As Bhatia (2008) has argued, there is an important relationship link between the 'discursive practices' of a specific professional community and the 'professional practices' of that community. In short, we view the PhD by Publication as a developing genre that reflects, in its relative newness, recent changes in

N. H. Johnson (✉)
University of Sunderland, Sunderland, UK
e-mail: neil.johnson@sunderland.ac.uk

S. W. Chong
Moray House School of Education and Sport, University of Edinburgh, Edinburgh, UK

© The Author(s), under exclusive license to Springer Nature Switzerland AG 2022

S. W. Chong, N. H. Johnson (eds.), *Landscapes and Narratives of PhD by Publication*, https://doi.org/10.1007/978-3-031-04895-1_14

disciplinary and professional cultures. Thus, the development of the genre must be seen as part of broader changes to the academy, elsewhere described as massification (Scott, 1995; Trow, 2010) consistent with developments in technology and the globalization that it has enabled. It is clear that the increase in demand for places in higher education has arisen from developments in modern societies with more occupations demanding more than a high school level of attainment, and it has been marked, especially in recent times, by increasing numbers of non-traditional students. These may be mature students, those currently employed, or those studying part-time and aiming at employment in rapidly growing areas such as the knowledge-based service industries. As Trow (2000, p. 1) helpfully describes it:

The change in student dynamics described above reflects a growing demand for lifelong learning, as patterns of employment change. Rapid technological change and international competition increase the value and importance of a well-educated workforce and higher education has opened up to accommodate this more pragmatic approach to skills training. The development of open access to systems of learning brought about by the development of the internet means that essentially all members of advanced economies potentially have life-long access to sources of learning. These new patterns of work also suggest a new conception of higher education, with high levels of enrolment in colleges and universities by students of traditional college age, to one of participation in lifelong learning online in homes and workplaces (see Schuetze & Slowey, 2013). This multiplicity of routes into higher education is now being reflected by a diversity of pathways into the academy itself, partly also lead in the UK context at least, by a degree of autonomy granted to institutions, as well as the market forces that now clearly define much of the activity within the sector. Other factors such as student and staff mobility mean that different recruitment criteria can be set by different institutions in order to allow them to create their own niche or profile within the system. The University of Sunderland, for example, a representative institution of the post '92 universities in the UK, has recently sought to define itself as "professions facing" and announced in 2020 a "careers-focused curriculum", as described in the recent announcement (Sunderland, 2020):

> The University has also increased student numbers in education programmes and those in the arts and creative industries, with opportunities for additional growth still to come. Meanwhile work is underway to further develop areas of importance to the regional and national economy and those that provide clear routes into employment. These include engineering, computer science and business.

In this official text, we can see clear evidence of an institution exercising autonomy while under pressure from marketisation forces to define itself in a way that will allow it to prosper economically by defining a stated niche in the market. In order to fulfil mandates such as these, institutions such as Sunderland are hiring a diverse range of staff who may not have followed traditional routes into the academy. As Reichert (2009) confirms with regard to the UK context: "New universities are more likely to recruit more mature staff with professional experience, with business links which may be relevant for their teaching and research at university, and with interest

in applied research of social and economic relevance" (p. 34). Though well established in various European contexts, it is this development in diversity in staffing that is driving increased interest in the PhD by Publication within the UK and elsewhere, supporting as it does a wide range of publications and public works, such as non-academic publications, creative installations, and other achievements from within areas such as the performance arts not traditionally associated with doctoral study. This is still fundamentally a research degree but it is research which stems from the first-hand professional experiences of candidates who are usually experienced/senior professionals. In this way, then, the PhD by Publication promotes practitioner research, bringing research and practice ever closer together. While the current neo-liberal agenda of contemporary higher education (see Jovanovic, 2017) poses many challenges to the work and identity of academics, there may also be opportunities within this system to challenge prevailing orthodoxies and allow for a broadening in understanding of how excellence and quality are defined.

PhD by Publication as an Emerging Academic Genre

This context is important because it illuminates many of the central themes that emerge within the chapters within this publication. For example, Solli and Nygaard in Chap. 2 underline the relative newness of the Retrospective PhD by Publication by describing the relative lack of clear guidance available either to students starting out on the program, or even to supervisors who have the task of guiding students through the process. Mason and Frick in Chap. 3 describe the unfolding ethical considerations that need to be met in the completion of an expanding model of doctorate education. Indeed, for Solli and Nygaard, three main themes become apparent as uniquely challenging about this route, when compared with a more traditional doctorate. These themes are all, to some degree, related to the newness of the route, and the lack of established protocols around the ownership of text and what it means to co-author a publication with a supervisor, for example. Relatedly, finding the appropriate academic voice for the writing of the commentary piece was also found to be an issue unique to this route. The rhetorical task of commenting on, synthesising, and finding new understandings within one's own work is central to the degree and very different from the voice required for describing research findings to academic peers. This finding from their survey is a theme given more detailed consideration by both Chong in Chap. 4 and Johnson in Chap. 5.

Chong emphasises the fact that the commentary is an emerging textual genre with samples becoming progressively more complex in terms of the rhetorical moves (Swales, 1990) deployed by authors more recently. Further, throughout the sample, there is found to be a wide variance in the moves used with some samples foregoing established moves such as review of the literature. Chong suggests that such variance may be attributable to local and institutionally bound advising strategies. The theme is taken in a different direction by Johnson who examines the comparative use of metadiscourse across various subjects in both the monograph

dissertation and the commentary piece in the PhD by Publication. The results confirm that a different kind of academic voice is required for what is after all a very different rhetorical task. The relative use of the personal pronouns within the PhD by Publication corpus was clear evidence of this. Together these findings suggest a genre in the very process of developing with, as yet, no fully established parameters or requirements. On the one hand this makes it challenging for students and advisors trying to establish guidelines for their own work, but on the other hand it also confirms that there still is a good deal of scope for a candidate to make the writing of the commentary a text that reflects their own academic path, and their own understanding of the work that they have completed.

From a research perspective, this situation of relative flux is an exciting one and offers us the possibility of tracking and understanding the process by which textual genres develop. Biber and Finegan (2011) have described the process of genre evolution as one of 'drift' towards gradual linguistic patterns that emerge through time. As Taavitsainen (2012) reminds us, genres, "constitute dynamic systems which undergo change and variation. Sociocultural needs change over time, and genres change accordingly: old genres become adapted to new functions, new genres are created, and genres that have lost their function cease to exist" (p. 94). Further research can examine the mechanisms of change and development to better understand textual development of the commentary piece and its complex, emergent relationship with contemporary academic life. Relatedly, focus also needs to be given to how English as second language authors negotiate and navigate their own way (see Connor et al., 2008) through the developing textual and rhetorical task of reflexively defining their own academic work in this way. Further attention needs to be paid, specifically, to further organisational, linguistic, and metadiscoursal aspects in the evolution of this genre. The sociocultural dynamics of the advising process must also be better understood to highlight ways that the process of change is being enacted at that crucial interpersonal level. This would complement ongoing research in the more traditional dissertation mentoring process (see Krase, 2007; Schlosser et al., 2011).

PhD by Publication and Academic Identities

The importance of the relationship and interaction between the student and advisor in the production of the PhD by Published Works text is indicative of a second major theme that is evident from the chapters in this book. That is one of identity. Identity theorists (e.g. Norton, 2013; Davies & Harré, 1990) highlight the diverse positions from which students are able to participate in social life, and demonstrate how learners can, but sometimes cannot, appropriate more desirable identities with respect to the target language or academic community. For Davies and Harré (1990, 1999) identity and the self are discursively produced in and through different types of social interaction. The various discourses that comprise a community make available a range of subject positions, that is, a range of categories that participants

identify with, as well as their meanings. This process provides people with ways of understanding their place in their own social world:

> A subject position incorporates both a conceptual repertoire and a location for persons within the structure of rights and duties for those who use that repertoire. Once having taken up a particular position as one's own, a person inevitably sees the world from the vantage point of that position and in terms of the particular images, metaphors, storylines and concepts which are made relevant within the particular discursive practice in which they are positioned. (Davies & Harré, 1999, p. 35)

In positioning theory, the 'other' is always present as a central aspect of the positioning process. Positionings are co-produced and relational, meaning that the adoption of a position always assumes a position for the interlocutor as well positioning processes involve both self and other positions (see Harré & Van Langenhove, 1999). What is particularly relevant here is that positioning theory also considers the power dynamics that shape interactions and positioning processes through the inclusion of what are known as moral orders. Every position is said to include a 'moral quality' due to a set of rights and duties which delimit what can be said or done from a certain position, in a particular context and towards a particular interlocutor (Davies & Harré, 1990).

It is striking, whilst reading through the experiences and narratives within this volume, that stakeholders describe the importance of, and attendance to, a range of academic identities within the process of engaging with and completing this mode of doctoral study. In Chap. 6, for example, Campbell discusses the contested nature of the identity of the holder of a non-traditional doctoral degree. The emergence of different routes to 'doctoralness' forces us to consider and evaluate what this qualification really means and how it can be defined. The conclusion Campbell comes to, based on her own experiences as a successful candidate on a PhD by Publication program, is that 'doctoraleness' can be defined as the development of the candidate into an autonomous researcher. This identity position acknowledges the fact that by definition holders of this qualification have worked independently to produce the publications that essentially define so much of academic success and advancement. What can be *said and done* from this position therefore must surely be equal to others who have achieved 'doctoralness' by other, more recognised routes.

Gravett and colleagues further explore the issues around identity and the Prospective PhD by Publication in Chap. 7. Here we see further evidence of a process of destabilisation around established metaphors and identities related to the doctoral process. In particular, within the process of doing the Prospective PhD by Publication, from both the standpoint of the supervisor and the supervised, the novice/expert and apprentice/master dichotomies are problematised and ultimately rejected. In their place, what emerges from the autoethnographic data is a sense of collaboration, community, intellectual growth, and the idea of *becoming* that is shared between colleagues working towards a common goal. From this point of view, identities are multiple, negotiated, and rhizmotic, traversing and creating diverse pathways into and within the academy. The evolution and transformation process goes both ways as supervisors themselves are changed by the doctoral experience. The guidance that is offered comes from a position of institutional seniority,

while at the same time the relationship with the supervisee is very much a negotiated and complex one, where the expertise is shared back and forth as the writing of the commentary and preparation for the viva voce takes place.

These themes are explored further by Alex in Chap. 11, and Mason, Merga, and Bond in Chap. 12. Alex is explicitly aware of the value of the doctoral qualification, describing it in terms of Bourdieu's (1986) cultural capital, yet there is a tension between the need and the desire for social recognition for academic achievements that in a sense have already been completed. Alex describes his previous struggles with the institutional bureaucracy and processes as he struggled with his 'outsider' status. The eventual *becoming* that he describes through completing the PhD by Publication route involves personal satisfaction, and an increased sense of self, and yet as a dyslexic researcher, perhaps, the doubts about what it is that 'doctoralness' really means remain unresolved in this narrative. The researcher feels at once inside the academy, and yet disconnected perhaps from what he describes as "the very few, if any, real experts". Mason, Merga, and Bond, however, confirm their own processes of becoming academics through the Prospective PhD by Publication mode of study. Here, the narratives substantiate the self-doubts, conflicts and pressures along the pathway towards a career in academia. The authors recognise the importance of the insider identities – *feeling like a real researcher* – and the subject positions that become available to them as they proceed towards careers as independent researchers in their own right. In a sense, the difficulties and uncertainties experienced while completing their PhD by Publication provide a useful preparation for life as an academic, where, retrospectively, the narrators find the doubts and the pressures only continue, to be negotiated anew from the perspective of their developing academic roles. Identities here then are ongoing co-constructions, constantly being remade and developed through time.

What emerges from these fascinating detailed accounts of researchers working towards, and completing, their doctoral study through this mode, is the need for further research to better understand the formation of the identities that are an important part of the skills, competencies, and experiences that come to define working and researching within the sector. Or, to return to the ideas of Davies and Harré (1990), we need new research tools for investigating the "particular images, metaphors, storylines and concepts" of those engaging with doctoral programmes. Universities have recently become described as engines of the knowledge economy (Mawson, 2007), and while fundamentally engaging in both teaching and research, the modern academic is increasingly expected to engage in knowledge transfer (Powers, 2003), as well as broader socio-economic engagement. Again, we place the variety of ways of entering into the academy that have been documented within this volume as a part of this re-imagining of the university workplace; a positive development in what otherwise can seem like a very negative outlook for higher education (e.g. Brabazon (2016) declares that *winter is coming* in the neoliberal university). The acculturation processes into these new, developing frameworks within higher education require new research trajectories to better understand the culture of higher education. As Välimaa (1998) has suggested, "defining identity as an instrument of research may open new vistas for the study of academic

communities as cultural entities" (p. 136). There is clear evidence in this volume that in the current higher education sector, the concept of the 'academic profession' is increasingly contested, and new ideas about the role of the 'academic workforce' are being considered. In the UK, and more widely, the influence of schemes such as the research excellence framework, for example, helps to ensure that publishing research and 'being a researcher' are dominant pressures on the work and identity of academics (see Harley, 2002). The anthropological approach to identity research, suggested by Välimaa (1998), is a promising one, and may allow us further important insight into what Boyd and Smith (2016, p. 690) describe as "the complex, dynamic, and potentially contradictory workplace contexts" of contemporary higher education. It is ultimately in social interaction and the discourses of the academy that these identities and subject positions are formed, contested and played out. These two research trajectories, in textual development and identity formation, come together most clearly in academic writing, as effectively described by Ivanic (1998, p. 181):

> All our writing is influenced by our life histories. Each word we write represents an encounter, possibly a struggle, between our multiple past experience and the demands of a new context. Writing is not some neutral activity which we just learn like a physical skill, but it implicates every fibre of the writer's multifaceted being.

The *demands of the new context* described in this volume are those related to the PhD by Publication of which the commentary is the key site, as both text and situated process, and it is a context we see as rich in possibility for further research. As this route continues to expand we also see rich possibilities for a new plurality in academic discourse, with different voices and different ways of knowing and creating becoming equally valued and respected. It is our hope that we come to see academic discursive spaces as increasingly ones where heterogeneous voices engage in the complex interplay of making and assigning meaning.

References

Atkinson, D. (1996). The philosophical transactions of the Royal Society of London, 1675–1975: A sociohistorical discourse analysis. *Language in Society, 25*(3), 333–371.

Bhatia, V. K. (2008). Genre analysis, ESP and professional practice. *English for Specific Purposes, 27*(2), 161–174.

Biber, D., & Finegan, E. (2011). *The linguistic evolution of five written and speech-based English genres from the 17th to the 20th centuries* (pp. 688–704). De Gruyter Mouton.

Bourdieu, P. (1986). The Forms of Capital. In John G. Richardson (Ed.), *Handbook of Theory and Research for the Sociology of Education*. Greenwood Press.

Boyd, P., & Smith, C. (2016). The contemporary academic: Orientation towards research work and researcher identity of higher education lecturers in the health professions. *Studies in Higher Education, 41*(4), 678–695.

Brabazon, T. (2016). Winter is coming: Doctoral supervision in the neoliberal university. *International Journal of Social Sciences & Educational Studies, 3*(1), 14.

Connor, U., Nagelhout, E., & Rozycki, W. V. (Eds.). (2008). *Contrastive rhetoric: Reaching to intercultural rhetoric* (Vol. 169). John Benjamins Publishing.

Davies, B., & Harré, R. (1990). Positioning: The discursive production of selves. *Journal for the Theory of Social Behaviour, 20*(1), 43–63.
Davies, B., & Harré, R. (1999). Positioning and personhood. In R. Harré & L. Van Langenhove (Eds.), *Positioning theory* (pp. 32–52). Blackwell.
Harley, S. (2002). The impact of research selectivity on academic work and identity in UK universities. *Studies in Higher Education, 27*(2), 187–205.
Harré, R., & Van Langenhove, L. (1999). Positioning theory. In *The discursive turn in social psychology* (pp. 129–136). Blackwell.
Ivanič, R. (1998). *Writing and identity* (Vol. 10). John Benjamins.
Jovanovic, S. (2017). Speaking back to the neoliberal agenda for higher education. *Cultural Studies↔ Critical Methodologies, 17*(4), 327–332.
Krase, E. (2007). "Maybe the communication between us was not enough": Inside a dysfunctional advisor/L2 advisee relationship. *Journal of English for Academic Purposes, 6*(1), 55–70.
Mawson, J. (2007). Research councils, universities and local government: Building bridges. *Public Money and Management, 27*(4), 265–272.
Norton, B. (2013). *Identity and language learning*. Multilingual Matters.
Powers, J. B. (2003). Commercializing academic research: Resource effects on performance of university technology transfer. *The Journal of Higher Education, 74*(1), 26–50.
Reichert, S. (2009). *Institutional diversity in European higher education*. European University Association.
Schlosser, L. Z., Lyons, H. Z., Talleyrand, R. M., Kim, B. S., & Johnson, W. B. (2011). Advisor-advisee relationships in graduate training programs. *Journal of Career Development, 38*(1), 3–18.
Schuetze, H., & Slowey, M. (2013). *Higher education and lifelong learning: International perspectives on change*. Routledge.
Scott, P. (1995). *The meanings of mass higher education*. Society of Research into Higher Education & Open University Press.
Sunderland. (2020). *Curriculum announcement*. https://www.sunderland.ac.uk/more/news/story/announcing-our-career-focused-curriculum-1204. Accessed 10 July 2021.
Swales, J. (1990). Genre analysis: English in academic and research settings. Cambridge University Press.
Taavitsainen, I. (2012). Discourse forms and vernacularisation processes in genres of medical writing 1375–1550. In Anneli Aejmelaeus & Päivi Pahta (Eds.), *Translation – interpretation – meaning. Collegium. Studies across disciplines in the humanities and social sciences, 7* (pp. 91–112). Helsinki Collegium for Advanced Studies.
Trow, M. (2010). *Twentieth-century higher education: Elite to mass to universal*. JHU Press.
Välimaa, J. (1998). Culture and identity in higher education research. *Higher Education, 36*(2), 119–138.

Neil H. Johnson is a Senior Lecturer for Masters in Education at the University of Sunderland. His research interests are in technology mediated and distance learning, multiliteracies, and English for academic and specific purposes.

Sin Wang Chong is a Senior Lecturer (Associate Professor) in Language Education at the Moray House School of Education and Sport, University of Edinburgh in Scotland. His research interests include language and educational assessment, technology and education, and research synthesis. He is Associate Editor of the journals Innovation in Language Learning and teaching (Taylor & Francis) and Higher Education Research & Development (Taylor & Francis).